REPORT TO THE BOARD OF REGENTS

January 30 - February 1, 2022

Meeting 353

STEPHEN F. AUSTIN
STATE UNIVERSITY

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Stephen F. Austin State University

Board of Regents

Meeting 353

January 30, 2022

O P E N M E E T I N G N O T I C E

Stephen F. Austin State University
Board of Regents Board Meeting and Committee Meetings
Nacogdoches, Texas
January 30 – February 1, 2022
Meeting 353
Austin Building, Room 307

The Board of Regents of Stephen F. Austin State University will convene a three-day Board Meeting and Committee Meetings on January 30 – February 1, 2022 according to the following agenda. In-person attendance is permitted or view a livestream of the meeting at: http://www.sfasu.edu/about-sfa/board-of-regents/meeting-information.

SUNDAY, January 30, 2022
1:00 p.m.
CALL TO ORDER IN OPEN SESSION

Welcome and Introductions

Reports from President's Cabinet
- Office of Marketing Communications Update
- Office of Information Technology Services Update
- SFA Athletics Update
- Office of Diversity, Equity and Inclusion Update
- Enrollment Management Update

RECESS TO COMMITTEE MEETINGS

MEETING OF THE BUILDING AND GROUNDS COMMITTEE
(Scheduled for approximately 3:00 p.m. or following the previous reports)

Presentation and Committee Action on Agenda Items 7-8:

7. Rescind Board Order 22-06 RFQ for Master Plan

8. Proposal for Capital Improvements Plan

EXECUTIVE SESSION
(Scheduled for approximately 3:20 p.m.)
The board will move to executive session for consideration of the following items:

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

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, EEOC charges, *Ann Wilder v. SFASU*; *Christin Evans v. Sydney Miley, et al;* and *Marlene Kahla, Ph.D. v. Board of Regents of Stephen F. Austin State University, et al.* (Texas Government Code, Section 551.071)

Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the chief audit executive, director of athletics, head football coach, executive director for enrollment management, chief marketing communications officer, chief information officer, chief diversity officer, director of governmental relations, vice presidents and the president. (Texas Government Code, Section 551.074)

RECONVENE BOARD MEETING IN OPEN SESSION
(Scheduled for approximately 6:00 p.m.)

The board will recess for the evening at approximately 6:00 p.m. with no further action expected.

THIS IS A CONTINUATION OF A THREE-DAY BOARD MEETING AND COMMITTEE MEETINGS AGENDA:

MONDAY, January 31, 2022
8:30 a.m.
RECONVENE BOARD MEETING IN OPEN SESSION

Call to Order

Welcome and Introductions

RECESS TO COMMITTEE MEETINGS

MEETING OF THE ACADEMIC AND STUDENT AFFAIRS COMMITTEE

Presentation and Committee Action on Agenda Items 9-10:

Report: Hanover Research – Faculty and Staff Salary Study

9. Shared Governance Document

10. Academic and Student Affairs Policy Revisions
    - Affirmative Action 11.1
    - Curation of Archaeological Collections 5.6
    - Employee Affirmative Action/Recruitment Plan 11.9
    - Faculty and Staff Athletic Ticket Purchases 12.8
    - Faculty Code of Conduct 7.11
    - Final Examination Scheduling 7.14
    - Health and Safety 13.10
    - Mail Services 16.16
    - Meeting and Conducting Classes 7.18
    - Return to Work 11.24
    - Social Media 15.11
    - Student Medical Appeal 6.24
    - Student Service Fee Allocations 10.11
    - Ticket Office Services 16.29

MEETING OF THE FINANCE AND AUDIT COMMITTEE
(Scheduled at approximately 10:15 a.m. or following the previous committee)

Presentation and Committee Action on Report:

Report: Investment Report – Texas A&M University Investments

At approximately 10:45 a.m., the board will take a walking tour of the Audiology and Speech-Language Pathology Program Facilities and the Sports Business Program Facilities. The board will break for lunch at approximately 12:15 p.m.

RECONVENE MEETING OF THE FINANCE AND AUDIT COMMITTEE

(Scheduled for approximately 2:00 p.m.)

Presentation and Committee Action on Agenda Items 11-19:

11. Acknowledge Receipt of Audit Services Report
    - Benefits Proportional by Method of Finance Audit
    - Construction Management Close-Out Audit
    - Tuition Set Asides Audit
    - NCAA Financial Statement Agreed Upon Procedures Review
    - Charter School Annual Financial Report Audit
    - Update on Audit Plan

12. Acknowledge Receipt of Contract Monitoring Report

13. Grant Awards

14. Resolution to Acknowledge Review of the Investment Strategy and Policy

15. Resolution Approving Investment Brokers and Financial Institutions

16. FY2023 Room and Board Rates

17. Changes to FY2022 Capital and Higher Education Fund Budget Schedule

Report: FY2022Budget Status Report and Analysis of Changes in FY2021 Unrestricted Net Position

18. Acknowledge Receipt of Annual Financial Reports from Institutionally Related Entities

19. Finance and Audit Policy Revisions
    - Delegated Purchasing Authority 17.5
    - Expenditure of Higher Education Funds 3.32
    - Investments 3.21
    - Investments-Endowment Funds 3.20
    - Withdrawal Without Financial Clearance 6.22

RECESS COMMITTEE MEETINGS

RECONVENE BOARD MEETING IN COMMITTEE OF THE WHOLE
(Scheduled for approximately 5:00 p.m.)

The board will recess for the evening at approximately 5:00 p.m. with no further action expected.

THIS IS A CONTINUATION OF A THREE-DAY BOARD MEETING AND COMMITTEE MEETINGS AGENDA:

TUESDAY, February 1, 2022
8:30 a.m.
RECONVENE BOARD MEETING IN OPEN SESSION

Call to Order

Welcome and Introductions

Pledge and Invocation

Special Recognitions

Board Action on Agenda Item 1:

1. Approval of Minutes from Meeting 351, October 31 – November 1, 2021 and Meeting 352, December 12, 2021.

Board Action on Personnel Items 2-5:

2. Approval of Staff Appointments

3. Approval of Faculty Appointments

4. Approval of Changes of Status

5. Approval of Retirements

Committee Reports and Board Action:

Building and Grounds Committee Report and Board Action on Agenda Items 6-8:

6. Approval of Building and Grounds Policy Revisions
    - Class Meetings 4.12
    - Course Scheduling 4.13
    - Smoking, Vaping and Use of Tobacco Products 13.21
    - Student Center Operations 16.26
    - Telecommunication Services 16.28
    - Work Requests 16.37

7. Approval to Rescind Board Order 22-06 RFQ for Master Plan

8. Approval of Proposal for Capital Improvements Plan

Academic and Student Affairs Committee Report and Board Action on Agenda Items 9-10:

9. Approval of Shared Governance Document

10. Approval of Academic and Student Affairs Policy Revisions
    - Affirmative Action 11.1
    - Curation of Archaeological Collections 5.6
    - Employee Affirmative Action/Recruitment Plan 11.9
    - Faculty and Staff Athletic Ticket Purchases 12.8
    - Faculty Code of Conduct 7.11
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    - Meeting and Conducting Classes 7.18
    - Return to Work 11.24
    - Social Media 15.11
    - Student Medical Appeal 6.24
    - Student Service Fee Allocations 10.11
    - Ticket Office Services 16.29

Finance and Audit Committee Report and Board Action on Agenda Items 11-19:

11. Acknowledge Receipt of Audit Services Report
    - Benefits Proportional by Method of Finance Audit
    - Construction Management Close-Out Audit
    - Tuition Set Asides Audit
    - NCAA Financial Statement Agreed Upon Procedures Review
    - Charter School Annual Financial Report Audit
    - Update on Audit Plan

12. Acknowledge Receipt of Contract Monitoring Report

13. Approval of Grants Awards

14. Approval of Resolution to Acknowledge Review of Investment Strategy and Policy

15. Approval of Resolution Approving Investment Brokers and Financial Institutions

16. Approval of FY2023 Room and Board Rates

17. Approval of Changes to FY2022 Capital and Higher Education Fund Budget Schedule

18. Acknowledge Receipt of Annual Financial Reports from Institutionally Related Entities

19. Approval of Finance and Audit Policy Revisions
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    - Expenditure of Higher Education Funds 3.32
    - Investments 3.21
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President Report
- COVID Update
- Spring Semester Update
- University Partnerships
- Distinguished High School Update
- Legislative Work
- Summer Plans – Road Tour

Faculty Senate Report
- Faculty Accomplishments
- Senate Work Spring 2022
- Opportunity for Questions

Staff Council Report
- Staff Council Work Fall 2021
- Staff Council Work Spring 2022

Student Government Association Report
- Rebranding SGA
- Student Service Fee Committee
- Counseling Services

Special Committee Report Update
- Nominating Committee Report

ESTIMATED ADJOURNMENT OF BOARD MEETING
(Approximately 12:00 p.m.)

Where appropriate and permitted by law, Executive Sessions may be held for the above listed subjects (Section 551.071). Possible action may be taken in Open Session on matters considered in Executive Session. Further details regarding the posted agenda are available for public review in the Office of the Board of Regents, Austin Building 310, and Telephone (936) 468-4048.

Stephen F. Austin State University
Board of Regents
Meeting 353
January 30, 2022

ROLL CALL

Regents

Karen Gantt, Chair
Tom Mason, Vice Chair
Jenn Winston, Secretary
David Alders
Robert Flores
Brigettee Henderson
Judy Olson
Laura Rectenwald
Nancy Windham
Spencer Coffey, Student Member

Administrators

Scott Gordon
Damon Derrick
Gina Oglesbee
Erma Brecht
Michara DeLaney-Fields
Anthony Espinoza
Brandon Frye
Graham Garner
Ryan Ivey
Judi Kruwell
Lorenzo Smith
Jill Still
Charlotte Sullivan

President's Cabinet Reports

STEPHEN F. AUSTIN STATE UNIVERSITY
NACOGDOCHES, TEXAS

Board of Regents Meeting
January 2022

Cabinet Presentations

sfasu.edu

STEPHEN F. AUSTIN STATE UNIVERSITY
NACOGDOCHES, TEXAS

Graham Garner

Chief Marketing Communications Officer

sfasu.edu

HANOVER RESEARCH

BRAND PERCEPTION SURVEY

Prepared for Stephen F. Austin State University

December 2021

RECOMMENDATIONS

RECOMMENDATIONS

Focus on improving its institutional reputation and financial aid packages to appeal to key stakeholders. Survey respondents indicate that these are among the most important elements when choosing where to apply for college, but when rating SFA specifically on these factors only about half of respondents expressed a positive opinion.

Given the constraints around shifting these metrics directly, SFA may need to focus on better communicating its overall value proposition and highlighting individual reputational elements.

Highlight the positive words and attributes associated with SFA to market it as a small, friendly, affordable university with an attractive campus and flexible, high academic quality programs. When asked what three words describe SFA, "small", "friendly", and "affordable" are the three most commonly-cited. Moreover, when asked about word associations through paired phrases, most respondents identify SFA as having an attractive campus, being flexible, and having a high academic quality. All of these are very or extremely important factors to respondents when considering where to apply for college, so SFA should capitalize on this reputation in its marketing campaigns. When considering the different outreach channels, SFA should prioritize digital media (e.g., social media, email), as respondents indicate these are the most effective.

Follow up with faculty and staff to address their concerns and incorporate their feedback into future messaging efforts. Faculty and staff have the lowest Net Promoter Scores (NPS) across all stakeholder groups. Moreover, they are also significantly more likely to associate terms like "low academic quality," "unknown," "boring city," and "party school" with SFA. Ensuring faculty and staff have a say in the brand strategy, and addressing their concerns brought up in the survey responses, may improve their perceptions of the university and help SFA to improve its overall reputation

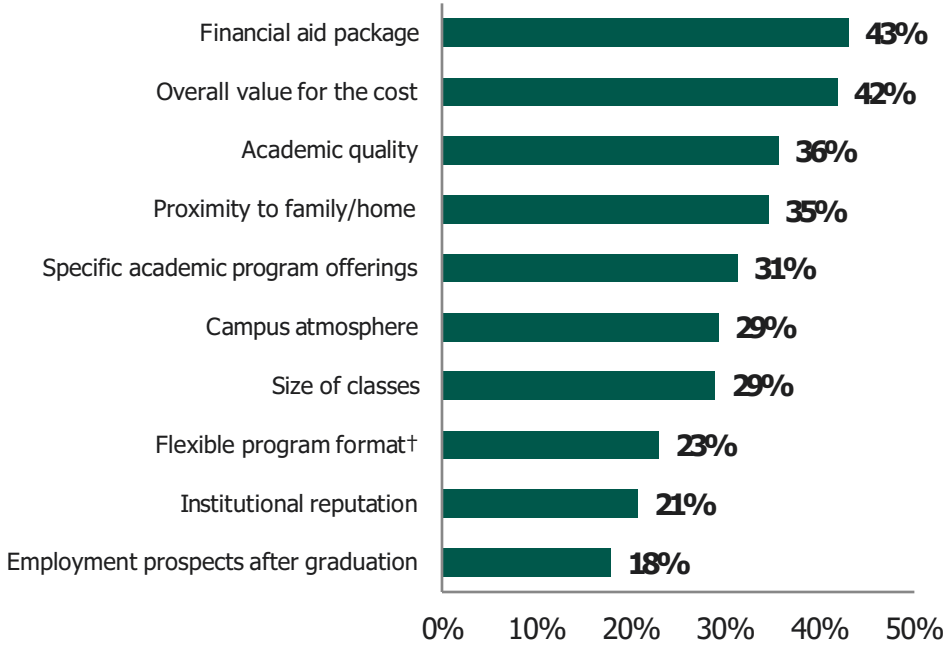
KEY FINDINGS

IMPORTANT FACTORS AND SKILLS

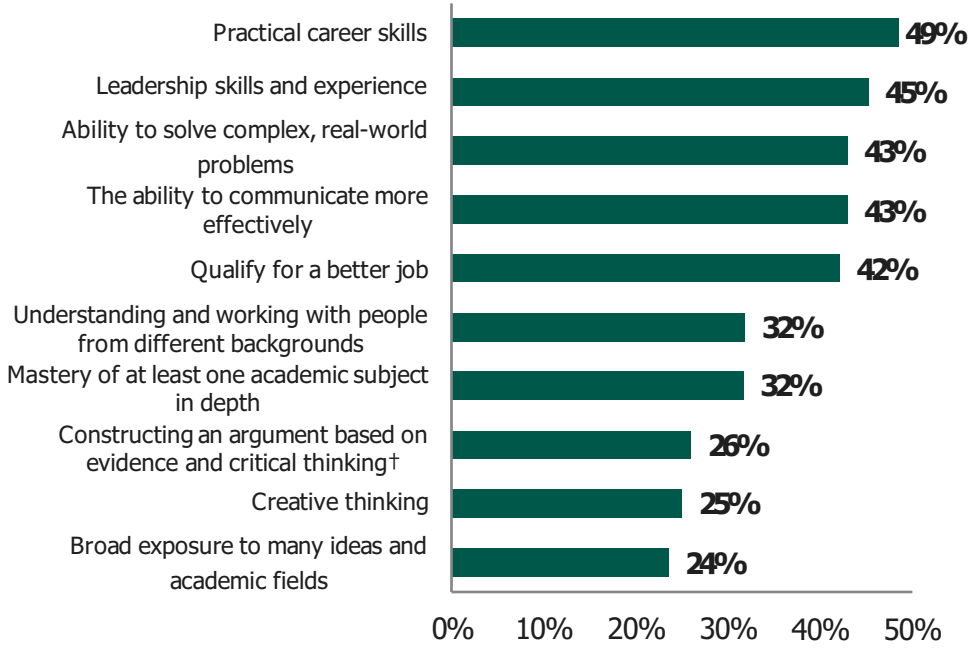
Overall, respondents indicate that financial and academic factors are most important in deciding where to apply, but SFA should differentiate its messaging approach based on target group. The most important factors to respondents when considering higher education institutions are the *financial aid package* (43%), the *overall value for the cost* (42%), and the *academic quality* (36%). Notably however, different audiences show slight variations of the topline preferences. Alumni, for instance, consider *institutional reputation* and *academic quality* to be significantly more important (41% and 51%, respectively). Current students and parents are more concerned with *size of classes* (35% and 39%, respectively).

When it comes to skills of interest, respondents indicate they are most interested in *practical career skills* (49%), *leadership skills and experience* (45%), and *problem solving* and *communication skills* (both 43%).

Top 5 Important Factors (n=671)



Skills of Interest (n=612)



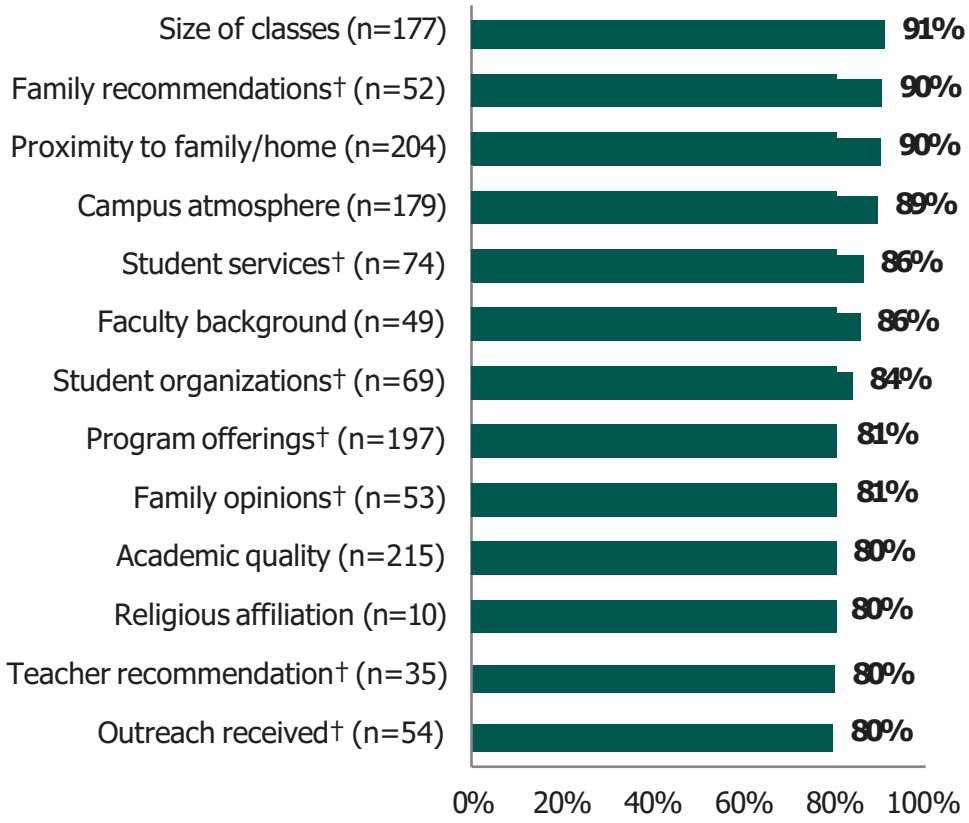
Question (1): Which of the following factors [are/were] most important to you when deciding [where to apply/where your child or other dependent should apply] for [an undergraduate/a graduate] program? ***Please select up to five options.***
Question (2): Which of the following skills and knowledge [are/were] [you most interested in developing/most important for your child or other dependent to develop/most important for students to develop] in college? ***Please select up to five.***
Note (1): The graphs display the 10 factors most selected by respondents. The full list of factors is in the data supplement.
Note (2): Question text and answer options marked with † are truncated for clarity and brevity.

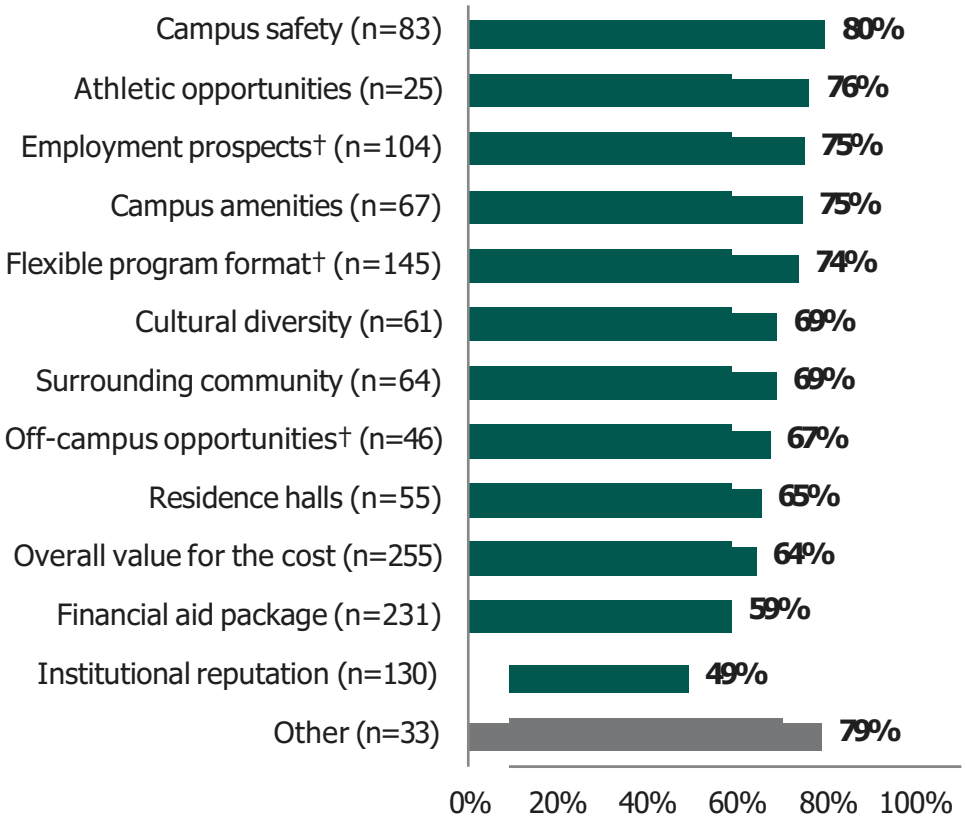
SFA FACTOR RATING

SFA is ranked positively across all factors about which the survey inquired, but there is some room for improvement on several factors that respondents consider important in their decision-making process. About half (49%) of respondents rate SFA as good or excellent with regards to its *institutional reputation*. Additionally, 59% of respondents rate SFA positively on its *financial aid package*. Both factors are among the most important to respondents when deciding where to apply.

How would you rate Stephen F. Austin State University on the following factors?

% Good + Excellent





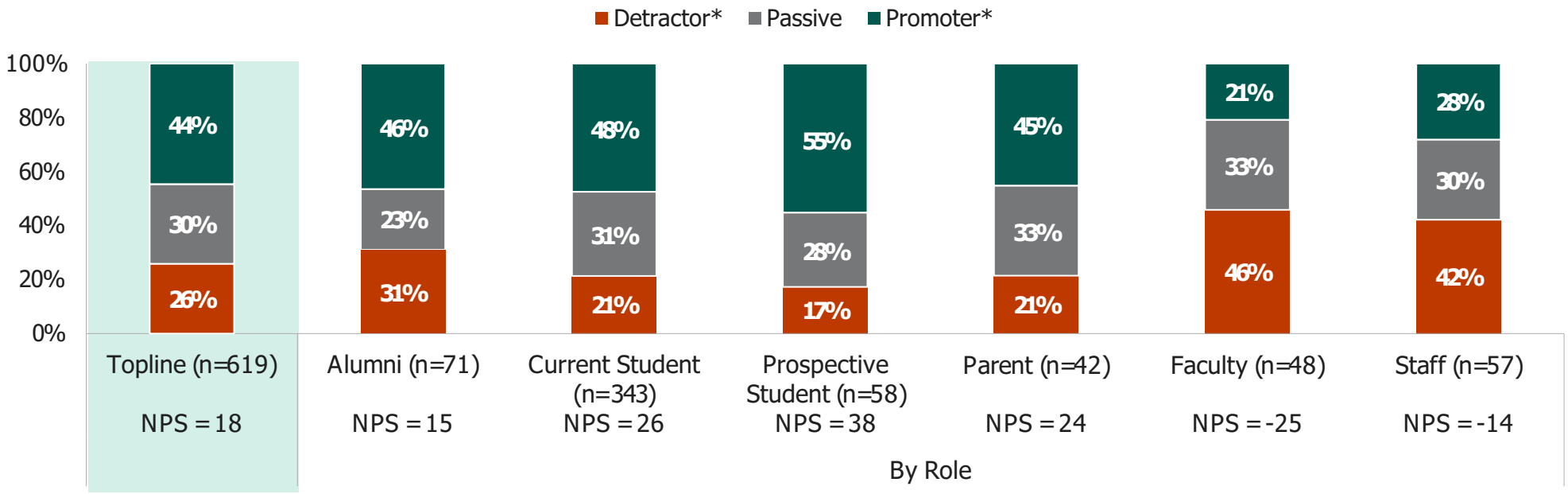
Note (1): Question text and answer options marked with † are truncated for clarity and brevity.
Note (2): Conclusions drawn from a small sample size (n<20) should be interpreted with caution.

NET PROMOTER SCORE

Most respondents are somewhat or very likely to recommend SFA to others, with prospective and current students forming the most enthusiastic groups. Overall, survey respondents are likely to recommend SFA (NPS=18). With an NPS of 38, prospective students are statistically significantly the most likely to recommend SFA, followed by current students (26) and parents (24). Alumni have a similar NPS (15) to that of respondents overall.

Internal audiences are less likely to promote SFA. Staff (-14) and faculty respondents (-25) have significantly lower NPS scores. When asked a follow-up as to why they would not recommend SFA, they point to, among others, issues such as insufficient financial aid, a lack of a community feel, and a lack of a sufficient support structure for faculty and staff – leading to them not being invested in student success.

On a scale from 0-10, how likely are you to recommend Stephen F. Austin State University to a friend, family member, or colleague?



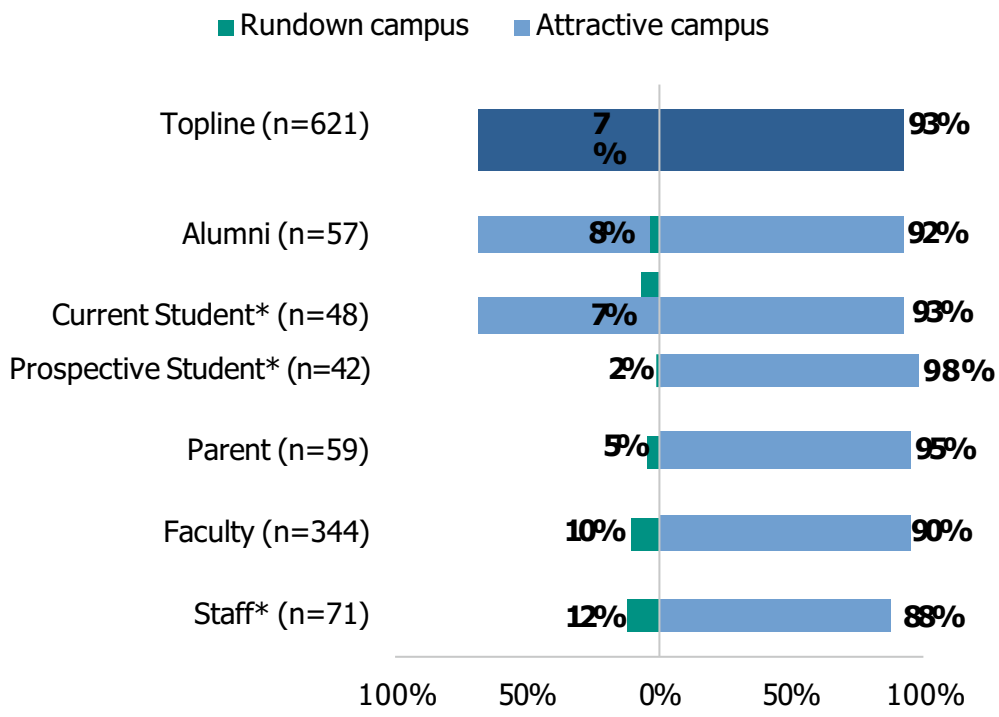
Note (1): Statistically significant difference (95% confidence level) between groups are noted with an asterisk (*).
Note (2): The Net Promoter Score (NPS) is a measurement of how likely respondents are to recommend (promote) the University. To calculate it, we classify respondents based on their response to the question as "Promoter" (9-10), "Passive" (7-8), or "Detractor" (0-6) and calculate their percentage representation of the total sample size. We then subtract the percentage of detractors from the percentage of promoters, and the resulting number is the University's NPS, so that a larger NPS corresponds to a higher likelihood of respondents recommending it.

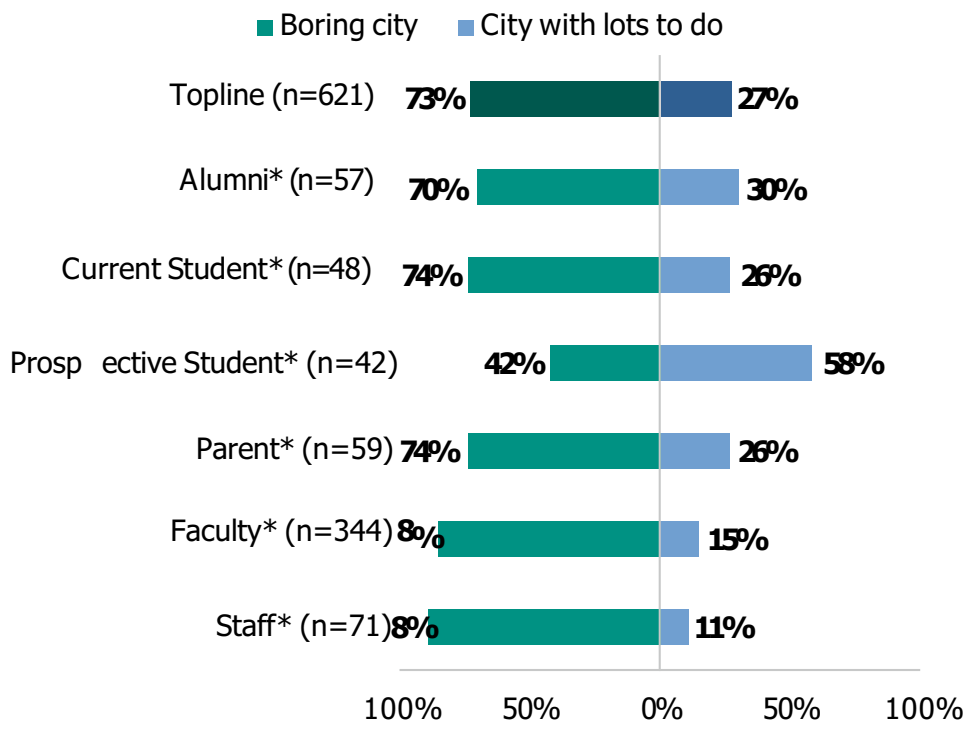
WORD ASSOCIATIONS (1/4)

SFA stakeholders are generally content with the attractiveness of SFA's campus, but consider it to be located in a "boring" city. Nearly all respondents (93%) think SFA has an *attractive campus*, but almost three-quarters (73%) consider Nacogdoches a *boring city* rather than a *city with lots to do*.

Prospective students have a different impression of Nacogdoches, along with the most positive opinion of the campus attractiveness. Alone among surveyed audiences, more than half of prospective students rate Nacogdoches as a *city with lots to do* (58%) and 98% of the group think SFA's campus is attractive.

Which of the following words describe Stephen F. Austin State University? ***Pick the option in each pair that is most applicable.***



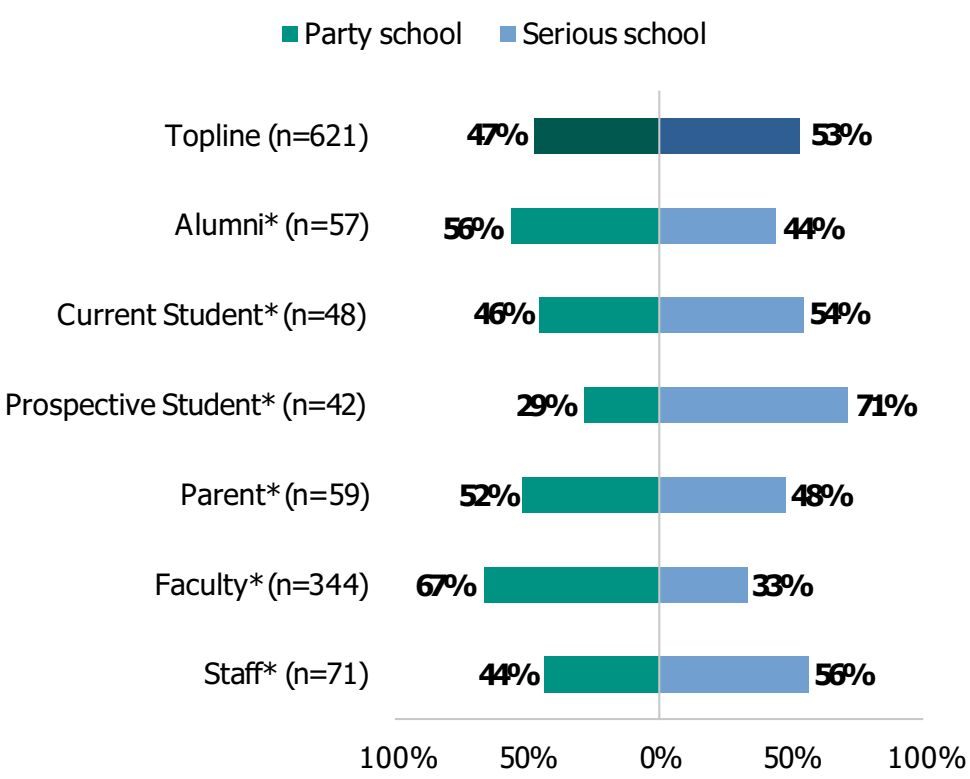


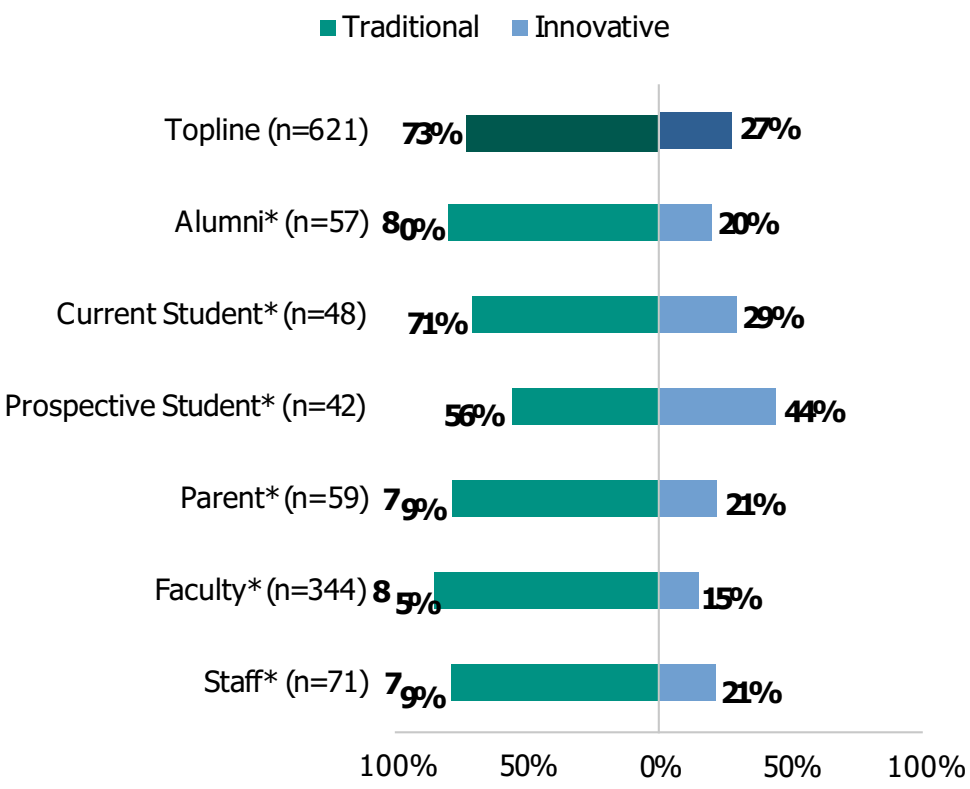
Note: Statistically significant difference (95% confidence level) between groups are noted with an asterisk (*).

WORD ASSOCIATIONS (2/4)

Respondents are split when considering whether SFA is a party school or a serious school. About half of respondents (53%) consider SFA a *serious school*, while the remaining 47% consider it a *party school*. When segmenting by role, prospective students are significantly more likely to consider SFA a *serious school*. **Most respondents consider SFA to be a "traditional" rather than an "innovative" institution.** Three-quarters of respondents (73%) consider SFA a *traditional* institution. As before, prospective student respondents have a somewhat different perception of SFA, as 44% consider it an *innovative* institution.

Which of the following words describe Stephen F. Austin State University? ***Pick the option in each pair that is most applicable.***



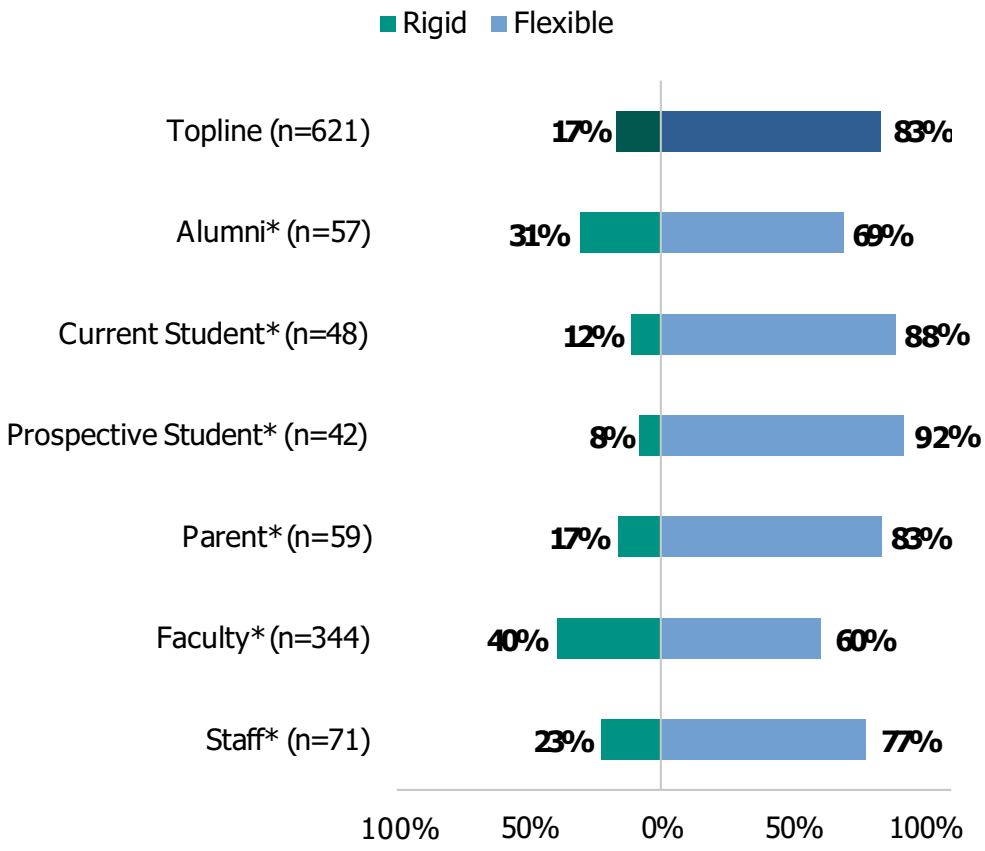


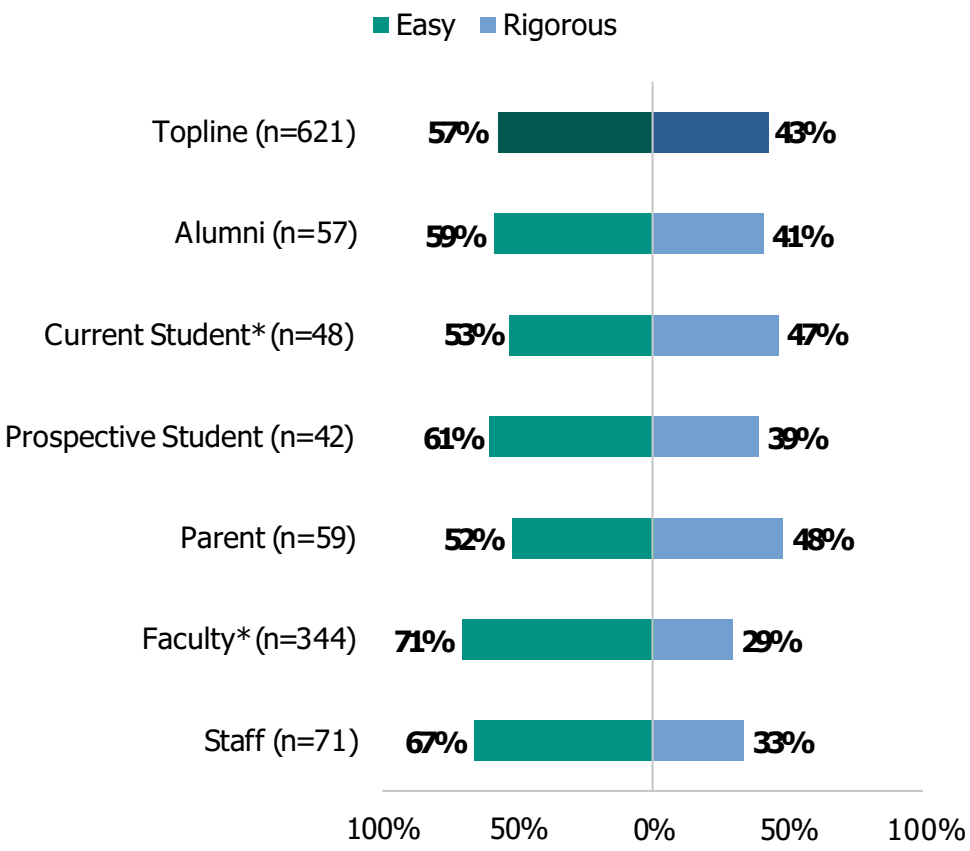
N.b. Statistically significant difference (95% confidence level) between groups are noted with an asterisk (*).

WORD ASSOCIATIONS (3/4)

Respondents generally consider SFA to be a flexible institution, and over half also identify it as easy. More than three-quarters of respondents identify SFA as *flexible* (83%), though this figure falls to 60% for faculty respondents. When it comes to the level of rigor, 43% of respondents rate the university as *rigorous*, while 57% of respondents consider it *easy*. Once again, faculty exhibit a significantly different trend, with 71% identifying the university as *easy*.

Which of the following words describe Stephen F. Austin State University? ***Pick the option in each pair that is most applicable.***



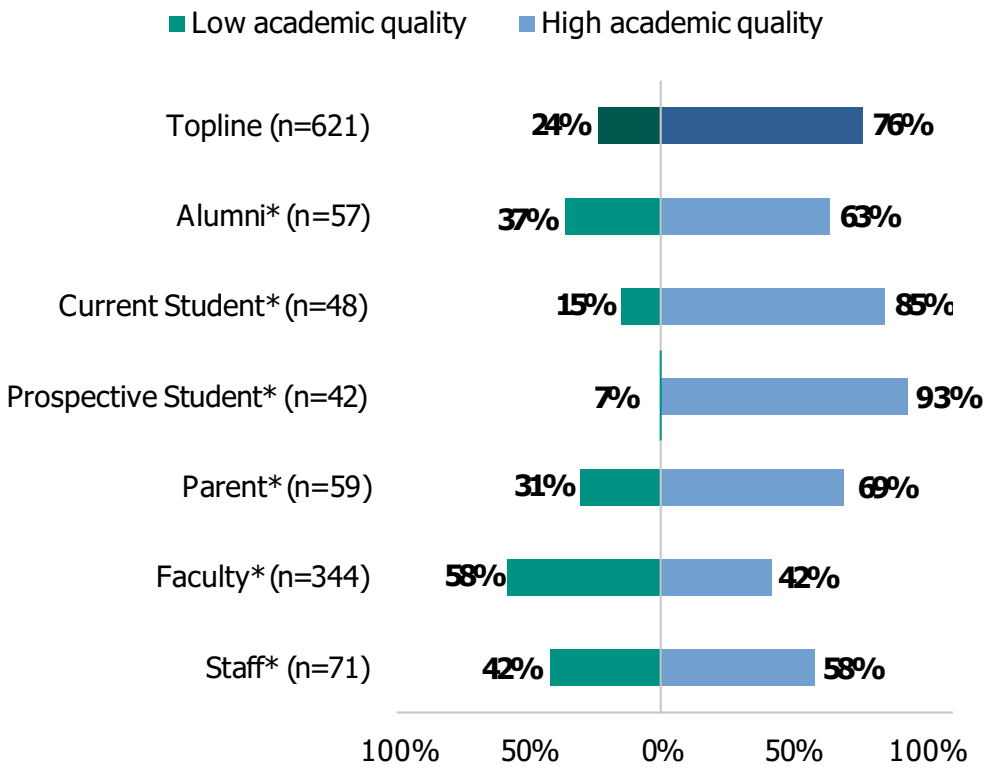


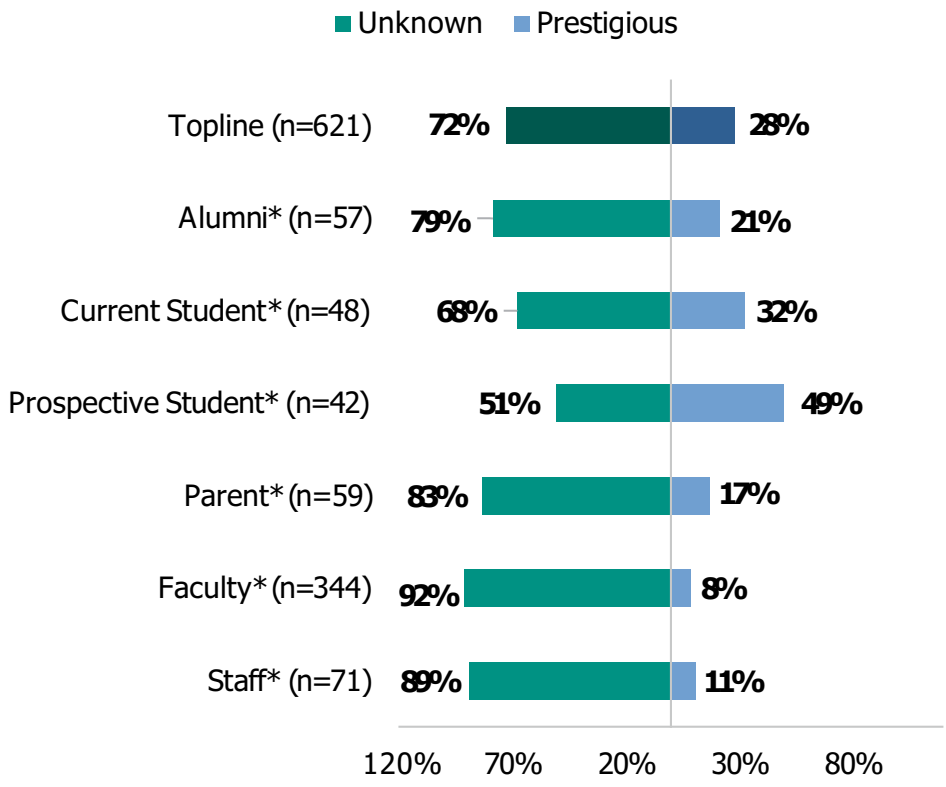
N.b. Statistically significant difference (95% confidence level) between groups are noted with an asterisk (*).

WORD ASSOCIATIONS (4/4)

Most respondents consider SFA to be an unknown but high-quality institution. Nearly three-in-four respondents (72%) think that *unknown* describes SFA – though nearly half of prospective students (49%) instead rate SFA as *prestigious*. Despite this, 76% of respondents associate SFA with *high academic quality*, a trend even stronger among current and prospective student respondents (85% and 93%, respectively). Faculty have a significantly lower consideration of SFA's academics, with just 42% rating the university as *high academic quality*.

Which of the following words describe Stephen F. Austin State University? ***Pick the option in each pair that is most applicable.***





Note: Statistically significant difference (95% confidence level) between groups are noted with an asterisk (*).

WORD CLOUD

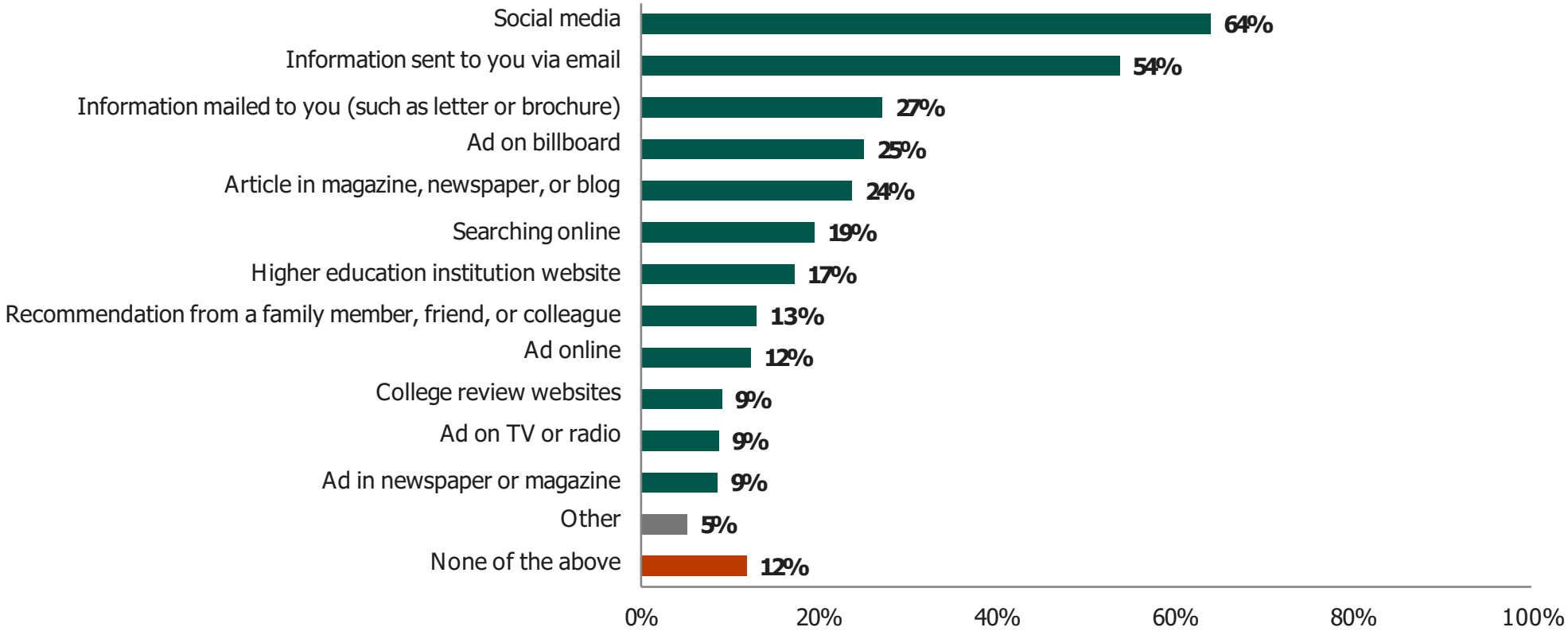
Which three words best describe Stephen F. Austin State University?

Note: The size of the word correlates to the number of times the word was mentioned by respondents.

OUTREACH CHANNELS

SFA is most successful at reaching respondents over digital channels. About two-thirds of respondents (64%) indicate having seen or heard something about SFA through *social media*, and over half of respondents (54%) indicate the same about *emailed information*. More traditional media sources fared less well, half as many respondents indicate having seen or heard something through *mailed information* (27%), *billboard ads* (25%), and *articles in magazines, newspapers, or blogs* (24%).

Have you seen or heard anything about Stephen F. Austin State University within the last 90 days from any of the following sources? *Please select all that apply.* (n=616)



RESPONDENT CHARACTERISTICS

Race/Ethnicity (n=612)

White	71%
Hispanic or Latin(o/a/x)	16%
Black or African American	9%
American Indian or Alaskan Native	2%
Asian	2%
Native Hawaiian or Other Pacific Islander	0.5%
Middle Eastern or North African	0.3%
Not listed/Prefer to self-describe	1%
Prefer not to respond	5%

Gender (n=612)

Female	70%
Male	25%
Non-binary/Gender non-conforming	1%
Not listed/Prefer to self-describe	0.3%
Prefer not to respond	3%

Annual Household Income (n=612)

Less than $50,000	28%
$200,000 or more	4%
$50,000 to $74,999	21%
$100,000 to $124,999	12%
$75,000 to $99,999	12%
$125,000 to $149,999	7%
$150,000 to $199,999	3%
Prefer not to respond	11%

State (n=671)

Texas	99%
Other	1%

Age (n=671)

15-19	23%
20-24	23%
25-29	6%
30-34	5%
35-39	7%
40-44	8%
45-49	7%
50-54	6%
55-59	8%
60+	8%

Living Situation (n=612)

Rural area	53%
Suburban area	31%
Urban area	10%
Prefer not to respond	5%

HIGHER EDUCATION

Note: Sample sizes differ as partial respondents were included to increase overall sample size, where possible.

HANOVER RESEARCH

Thank you.

CONTACT

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Content Director

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STEPHEN F. AUSTIN STATE UNIVERSITY
NACOGDOCHES, TEXAS

Anthony Espinoza

Chief Information Officer

sfasu.edu

ITS Accomplishments

- Automation of scholarship awarding
- Advising Forms (custom built)
  - Added more colleges to using the forms
  - Added functionality to forms
  - Received extremely favorable feedback from faculty advisors, professional advisors and students
- Improved our server infrastructure to better support the university and academic mission
- eSports sports club
  - Discussing support of future labs and tournaments to promote and recruit for SFA
- Completed Coliseum Construction project
- Completed improvements to our fiber infrastructure
- Improved wireless coverage in the HPE gym

ITS Challenges

- Staff turnover due to higher paying jobs and low morale
- Funding
  - Continued investment in IT infrastructure
  - Example: over 2500 desktops are eligible for replacement

STEPHEN F. AUSTIN STATE UNIVERSITY
NACOGDOCHES, TEXAS

Ryan Ivey

Director of Athletics

sfasu.edu

Athletics

- **First year within the Western Athletic Conference**
- **Cross Country:**
  - Men finished 9th and women finished 8th
- **Football:**
  - 8-4 finish (back to back winning seasons for the first time since 2009-10)
  - At large berth to NCAA FCS Playoffs
  - Finished year ranked 18th nationally in the AFCA coaches poll
- **Soccer:**
  - 10-8-1 overall and 8-2 in WAC play (regular season champions)
- **Volleyball:**
  - 19-10 overall and 8-5 in WAC play.
  - Hosted NIVC regional and won first round match
  - First national postseason tournament win since 2006

Athletics

- ## December graduates
- 2.9 Fall GPA (annual goal is 3.1)
- 2020-21 Academic Progress Rate (APR) Score: .989
  - Qualifies for Academic Performance Fund unit from the NCAA (worth approximately $130,000 this year)
  - Highest single year APR score in department

Athletics

- **Men's Basketball:**
  - 11-6 overall and 3-2 in league play
  - 150 KenPom ranking (5 WAC teams in top 150)
  - WAC KenPom Ranking=19
  - 167 NET Ranking (6 WAC teams 167+)
  - WAC NET Ranking= 16
- **Women's basketball:**
  - 14-3 overall and 5-0 in league play
  - 51 NET Ranking (5 WAC teams 200+)
  - WAC NET Ranking=23

Athletics

- Social Media (August-December)
  - 341,251 engagements (+ 15.5%)
  - 5,645,245 impressions (+19.8%)
  - 216,902 total audience (+5.2%)

Athletics
Campus External Initiatives

- Fed the band-August 18th
- Provided facilities tour for Sibling Orientation
- Participated in career fair to provide opportunities for student workers (September 1)
- Added spirit team leaders to the Student-Athlete Advisory Committee
- Presented to orientation leaders
- Partnered with Sports Business program to facilitate 15 student internships
- Hosted faculty/staff breakfast (November)
- Partnered with SGA and Black Mental Health Group for Mental Health Week
- Hosted dinner for orientation leaders
- Partnered with Greek organizations for endzone tailgate
- Created more student-athlete engagement with Homecoming
- SAAC Organization had Homecoming King and Queen winners (Justin Garcia and Courtney Banfield)
- Partnered with SGA for sendoff for BOPW and volleyball match
- Partnered with The Big Event to host Jack-Tackular Halloween Event

Athletics
Campus External Initiatives

- Partnered with Pi Kappa Phi for philanthropy at November 9th bball
- Partnered with Greeks for "Steak Dinner" competition (steak dinner for most attendance throughout basketball season)
- Partnered with Weeks of Welcome (WOW) for January 20th game
- Hosting SGA for February 5th game
- Student specific promotions:
  - Greek "Steak Dinner"
  - Show for Dough on Greek Night
  - T-Shirt Give away
  - WACky Socks
- Regularly attended meetings with Axeperience (officers and membership)
- Presented to and created focus groups with Sport Business Marketing class

STEPHEN F. AUSTIN STATE UNIVERSITY
NACOGDOCHES, TEXAS

Dr. Michara DeLaney-Fields

Chief Diversity Officer

sfasu.edu

Accomplishments/Challenges

- **Accomplishments**
  - Implemented an Allied Space for the LGBTQIA+ community
  - Expanded the Diversity and Inclusion certification to students
  - Collaborated w/HR and Academic Affairs to offer resources for positions to be advertised to a more diverse pool of applicants
    - The Registry for Diverse and Strategic Faculty
    - Texas Association of Black Personnel in Higher Education (TABPHE)
- **Challenges**
  - Education of DEI

Campus Climate Survey

- **Background**
  - Stephen F. Austin State University (SFA) wants to better understand the climate around equity, diversity, and inclusion on campus for faculty, staff, and students.
- **Research Questions**
  - What are current students, faculty, and staff satisfied or dissatisfied by as members of the college community?
  - How do students and employees view diversity, equity, and inclusion on campus in terms of academics, social interactions, and the general campus environment?
  - What should the college focus on regarding diversity, equity, and inclusion?

Campus Climate Survey

- **Methodology**

Hanover Research will design, administer, and analyze a survey to understand student, faculty, and staff perceptions of institutional climate and diversity, equity, and inclusion at SFA. Survey results will provide insights into current attitudes and experiences on campus as well as preferences and needs to inform future initiatives.

- **Survey Planning**: Hanover will design a custom survey instrument based on the above research questions, best practices, and information shared by SFA.
- **Administration:** Hanover will distribute the survey to students, faculty, and staff on SFA's behalf to add a layer of anonymity to encourage respondents to be candid. Surveys are typically "live" for 2-3 weeks.
- **Incentive:** Hanover recommends an incentive of $10 for the first 400 student respondents.
- **Analysis**: Following the survey administration, Hanover will analyze the survey results. Survey analyses will provide recommendations, key findings, and insights from the survey data as well as an Excel data supplement.

Title IX Highlights

- Completed the institution's first Title IX live hearing. Between the Title IX team and our interim appointments, approximately 368 hours were dedicated to the preparation and execution of this hearing.
- Between three full time employees and one graduate student, over 322 students and employees receive training through 9 presentations.
- In order to carry out the mission of this office, the Title IX team collectively attended 110.5 hours of training related to Title IX through 40 different events.

Disability Services

Active Students – Fall 2021

ADD/ADHD	124
Blind/Visually Impaired	33
Deaf/Hard of Hearing	28
Mobility	6
Health & Medical	43
Learning Disability	154
Autism Spectrum	22
Mental Health	64
TBI	7
Temporary	2
Total	483

*Fall 2020 = 406

Active Students – Spring 2022

ADD/ADHD	76
Blind/Visually Impaired	21
Deaf/Hard of Hearing	17
Mobility	5
Health & Medical	23
Learning Disability	97
Autism Spectrum	14
Mental Health	36
TBI	4
Temporary	2
Total	295

*Spring 2021 = 376

Disability Services Highlights

- **Accommodation request notifications made to faculty**
  - Fall 2021 = 2,393 requests
    - Accommodation requests by class = 1,339 classes
  - Spring 2022 = 1,481 requests
    - Accommodation requests by class = 965 classes

- **Exam Proctoring Report Fall 2021:**
  - Total exams administered = 1,070
  - Total number of students testing = 178
  - Total number of faculty served = 138
  - Total number of courses served = 200

- **Provided 4100+ service provider payroll hours including:**
  - 1290+ interpreter hours
  - 2300+ note-taking hours
  - 330+ reader/scribe hours
  - 20+ tutoring hours

- **Received $39,269.18 in external funding from Texas Workforce Commission - Department of Assistive and Rehabilitative Services contracts**
  - $15,332.98 – Fall 2021 (actual invoiced)
  - $23,936.20 – Spring 2022 (contracted)

- 42 students graduated December 2021

- Disability Services will continue to partner with Tyler Junior College this Spring semester as an internship placement site for TJC Interpreter Training Program students. Shannon Jacobs will be supervising two interpreter interns during the Spring 2022 semester.

Office of Multicultural Affairs (OMA) Highlights

- **MLK Day of Service- January 17, 2022**
  - 432 students were registered and 20 faculty/staff were registered as site mentors
  - 20 service sites registered around the Nacogdoches community
  - Sponsored through a grant funded by AmeriCorps
- **Diversity and Inclusion Certification Program for faculty/staff**
  - 375 total participants enrolled
  - 107 graduates/ 26 fall 2021 graduates
- **AXcel Mentor Program**
  - Fall 2021 semester concluded with 10 peer mentors and 76 mentees who were first year SFA students.
- **Upcoming Events**
  - Unity Week- February 7-11, 2022
  - Seventh Annual Diversity Conference- February 11, 2022
  - Women’s Empowerment Summit- March 18, 2022
  - Inaugural Men’s Empowerment Summit- April 25, 2022

Campus Climate Response Team (CCRT)

- During Q4 (October 2021- December 2021) the Campus Climate Response Team undertook outreach and resolution of seven bias complaints submitted by members of the campus community.

- The CCRT also formalized reporting and response procedures in SFA's conduct case management software program to ensure accurate and consistent recordkeeping of hate/bias complaints and efficient resolution thereof.

HATE IS NOT A LUMBERJACK VALUE

The Campus Climate Response Team assists the university in promoting an open and inclusive environment. If you believe you have experienced an act of hate/bias, you are encouraged to complete the hate/bias reporting form at **sfasu.edu/axe-hate**. The CCRT will then initiate the following reporting protocol.

BIAS INCIDENT REPORT RECEIVED

CCRT MAY

REFER (AS NEEDED)

*Note: CCRT is not a sanctioning body and does not determine or implement consequences

OTHER REPORTING OPTIONS

University Police Department
Phone: (936) 468-2608
Email: updemail@sfasu.edu

Title IX Office
Phone: (936) 468-8292
Email: titleix@sfasu.edu

Office of Student Rights and Responsibilities
Phone: (936) 468-2703
Email: sfajudicial@sfasu.edu

Counseling Services
Phone: (936) 468-2401
Email: counseling@sfasu.edu

Student Health Clinic
Phone: (936) 468-4008
Email: healthservices@sfasu.edu

Family Crisis Center of East Texas - SFA Office
Phone: (936) 468-7233
24-Hour Crisis Line: (800) 828-7233

Human Resources
Phone: (936) 468-2304
Email: hr@sfasu.edu

CCRT WILL

SHARE INFORMATION

- Website updates showing incident numbers and trends
- Response team meetings and student advisory group meetings

CCRT WILL

SUPPORT

- Intake conversation(s) centering on impacted person and exploring options
- Outreach to support others impacted
- Ongoing support and check-ins

POSSIBLE OUTCOMES

- One-on-one ongoing support
- Engage person impacting others
- Engage leaders to address systematic issues
- Conflict resolution

STEPHEN F. AUSTIN STATE UNIVERSITY
NACOGDOCHES, TEXAS

STEPHEN F. AUSTIN STATE UNIVERSITY
NACOGDOCHES, TEXAS

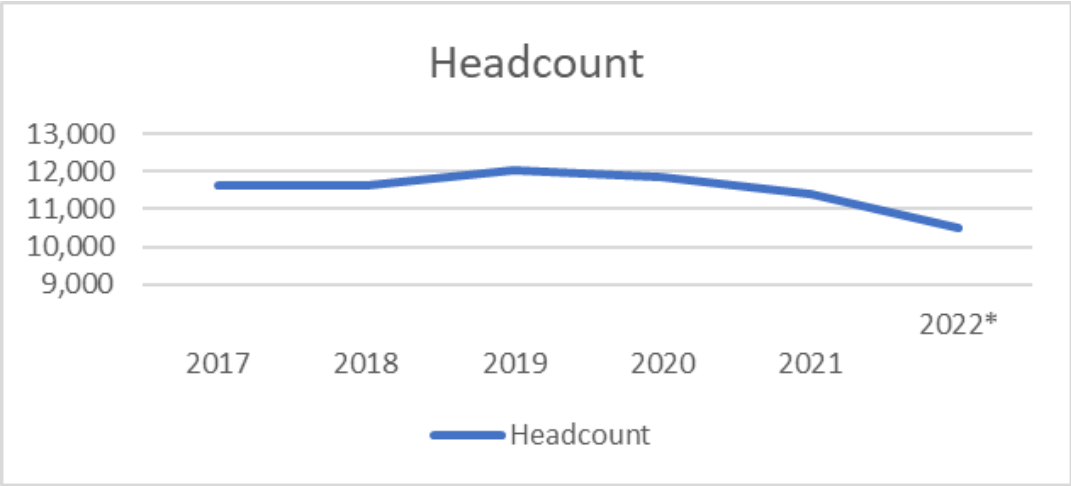
Erma Nieto Brecht

Executive Director for Enrollment Management

sfasu.edu

Spring Enrollment by Headcount

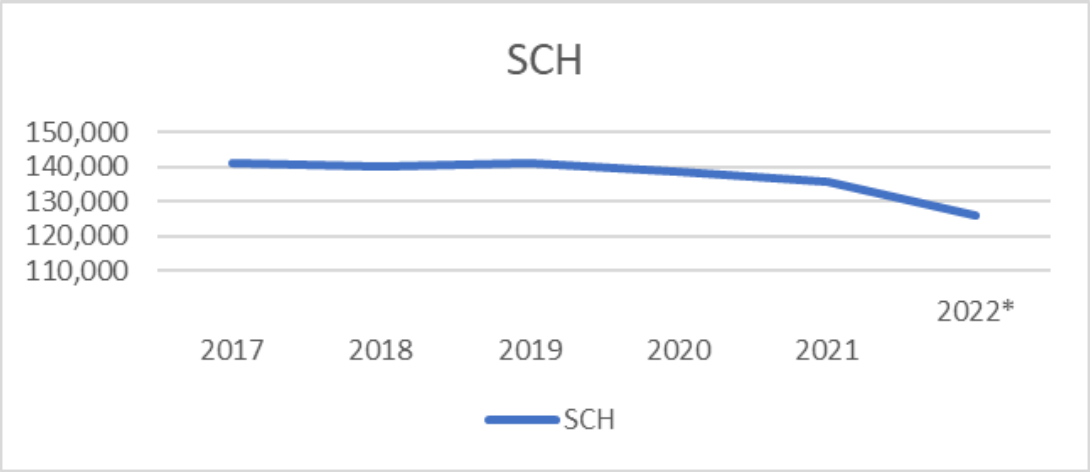
	2017	2018	2019	2020	2021	2022*
Total Headcount	11,639	11,623	12,035	11,846	11,425	10,582
# Diff from LY Spring	--	-16	+412	-189	-421	-843
% Diff from LY Spring	--	-0.1%	3.5%	-1.6%	-3.6%	-7.4%



Note: Spring 2022 data as of Jan 28, 2022. Census date is Jan. 28, 2022.

Spring Enrollment by Semester Credit Hour

	2017	2018	2019	2020	2021	2022*
Total SCH	140,814	140,205	141,169	138,495	135,764	126,002
# Diff from LY Spring	--	-609	+964	-2,674	-2,731	-9,762
% Diff from LY Spring	--	-0.4%	+0.7%	-1.9%	-2.0%	-7.2%



Note: Spring 2022 data as of Jan 28, 2022. Census date is Jan. 28, 2022.

Spring Enrollment by Population

Spring Enrollment by Population: 1 Days to Census					
Population	Spring 2020	Spring 2021	Spring 2022	LY Diff +/-	LY Diff %
First Year	26	32	29	-3	-9.4%
Transfers (new)	373	369	315	-54	-14.6%
Dual Credit	1127	930	775	-155	-16.7%
UG (cont)	8956	8569	7996	-573	-6.7%
GR Masters	1304	1451	1393	-58	-4.0%
GR Doc	61	73	74	1	1.4%
	11847	11424	10582	-842	-7.4%

Spring Enrollment by College

Spring Enrollment by College: 1 Days to Census

	Spring 2021				Spring 2022				LY Difference +/-				
College	DC	UG	GR	Total	DC	UG	GR	Total	DC	UG	GR	By College Total # Diff	By College Total % Diff
Business	0	1533	139	**1672**	0	1411	149	**1560**	0	-122	10	**-112**	**-6.7%**
Education	3	2547	804	**3354**	1	2360	720	**3081**	-2	-187	-84	**-273**	**-8.1%**
Fine Arts	0	763	75	**838**	0	734	81	**815**	0	-29	6	**-23**	**-2.7%**
Forestry & Ag	0	704	83	**787**	0	638	88	**726**	0	-66	5	**-61**	**-7.8%**
LAA	926	1743	309	**2978**	773	1672	296	**2741**	-153	-71	-13	**-237**	**-8.0%**
Science & Math	1	1680	114	**1795**	1	1525	133	**1659**	0	-155	19	**-136**	**-7.6%**
TOTAL Headcount	930	8970	1524	**11424**	775	8340	1467	**10582**	-155	-630	-57	**-842**	**-7.4%**
									-16.7%	-7.0%	-3.7%	**-7.4%**	
									-842				

Notes/Observations:

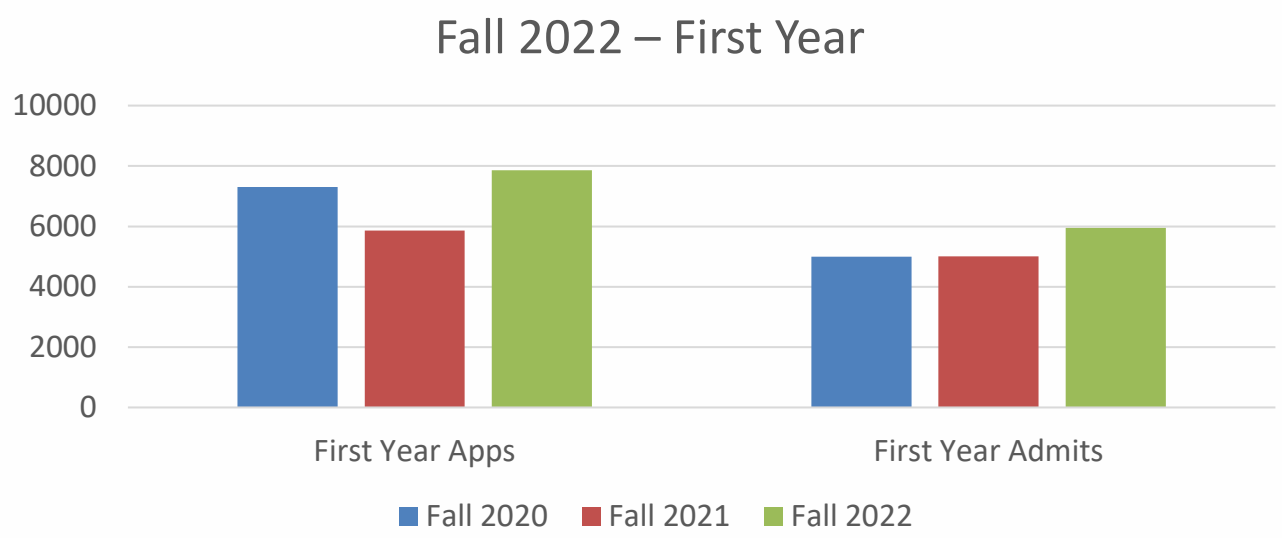
- Dual Credit Program transition from growth to maintaining.
- College of Education historically largest enrollment. Ed Prep (K-12) programs hit hard by pandemic. Impacting both UG and GR enrollment.
- Fall 2021 experienced an increase of new UG, 4% in First Year and 2.6% in Transfers; however not significant enough to offset drop of 772 continuing undergrads.
- December graduates was 2nd largest with 1005 graduates.

Note: Spring 2022 data as of Jan 28, 2022. Census date is Jan. 28, 2022

Fall 2022 Updates

- Academic Excellence Tiered Scholarships.
- Recruitment Events (return to travel)
- Distinguished High School Program

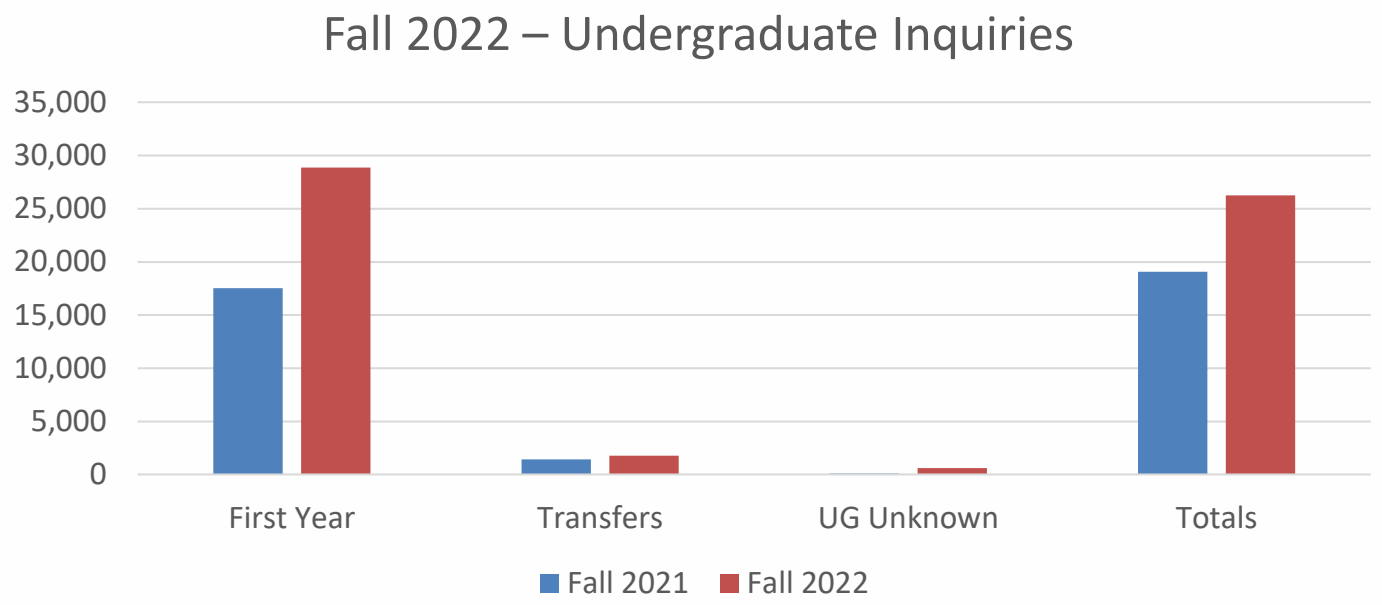
As of 01/14/2022	Fall 2020	Fall 2021	Fall 2022	% Diff from 2021	% Diff from 2020
First Year Applications	7,310	5,866	7,862	34%	7.6%
First Year Admits	4,995	5,006	5,954	18.9%	19.2%



Fall 2022 Updates:

- SFA increased presence and visibility.
- Expanded college search presence – CAPPEX, Niche.
- Increased social media presence – collaboration with Admissions & UMC
- Enhanced communications via Slate – emails and print.

Inquiry Type	Fall 2021	Fall 2022	# Change	% Change
First-Year	17,538	23,865	6,327	36%
Transfers	1,423	1,775	352	25%
Undeclared (Type)	118	619	501	425%
Totals	**19,079**	**26,259**	**7,180**	**38%**



Strategies Impacting Future Enrollment

Enrollment initiatives that impact sustainable growth and institutional fiscal stability.

Recruitment Focused:

- First Year Population
  - Academic Excellence Scholarship – Tiered levels $1500 - $6000
  - Distinguished High School Program
  - Increase recruitment team 8 casual employees in major markets
  - E-Sports Program
  - Aviation bringing in 2nd class
  - SFA Campus Host – summer camps, high school target groups (UIL, FFA, etc.)
  - The Common App (2023)

- Transfer Population
  - Community College Agreements (Lone Star, RELLIS, Tyler Junior College, Panola, etc.)
  - Returners in East Texas – Mature students needing to complete degree
  - Lumberjack Stop Outs
  - SFA Campus host transfer target groups (PTK)

- New Graduates
  - Marketing identified programs with potential for growth
  - Graduate recruitment events and collaborations
  - Graduate scholarships

Retention Focused – Continuing Students

- SFA Experience (engagement, academic, service, etc.)
- Enhance connections for all students
- Scholarships

Building and Grounds Committee

RESCIND BOARD ORDER 22-06 RFQ for Master Plan

Explanation:

At the October 2021 meeting, the Board of Regents approved the issuance of a Request for Qualifications (RFQ) for a firm to update the current master plan (Board Order 22-06). After further consideration, the administration recommends the Board rescind that order to instead allow the President's university Master Planning Committee (MPC) to evaluate the current campus related documents including the most recent master plan, the 2018 Campus Space Utilization Strategy study, and the 2018 Athletics Facility Assessment. The President will monitor the activity of the MPC and evaluate whether to recommend to the Board that the university engage the services of an architectural firm to update the master plan.

Recommendation:

The administration recommends the board rescind Board Order 22-06 to issue a Request for Qualifications for a firm to update the current master plan.

PROPOSAL FOR CAPITAL IMPROVEMENTS PLAN

Explanation:

In July 2019 in Board Order 19-59, the Board of Regents approved firms for Indefinite Delivery/Indefinite Quantity (IDIQ) Architect and Engineering Services Contracts. The University needs a capital improvements plan that maximizes the combined use of the following funds:

- From the Series 2019A Revenue Bonds totaling $94,290,000, the portion allocated to student residential housing of $23,575,000 less expenditures of $1,090,308.67 for a remaining total of $22,484,691.33;
- From the Series 2019B Taxable Revenue Bonds totaling $15,925,000, allocated to a dining facility less expenditures of $194,444.05, for a remaining total of $15,730,555.95;
- From the 2021 Capital Construction Assistance Project funds a total of $44,922,833;
- Higher Education Assistance Funds;
- Outside vendor contributions; and
- private donations.

The administration is requesting authorization to contract with Kirksey Architects, Inc. for an amount not to exceed $200,000 for a capital improvements plan. Kirksey Architects, Inc. will conduct a focused study that will gather and review relevant data, including but not limited to:

- the applicability of the various sources of funds, including costs of funds and constraints on expenditures;
- the capital improvement needs of campus programs and departments; and
- the operating and maintenance conditions of various buildings on campus, including residential and dining facilities.

The vendor will provide recommendations in the capital improvements plan to the administration and Board of Regents Building and Grounds Committee on how best to allocate available funds in order to maximize return on investment, and thus provide the optimal financial investments in capital improvements for the continued growth and prosperity of SFA.

Recommendation:

The administration requests approval to enter into a contract with Kirksey Architects, Inc. for a capital improvements plan.

Kirksey ARCHITECTURE

scope of services

1 GENERAL

The specific Basic Services to be provided by the Architect, and the initial assumptions made with respect to the provision of such services, are described below. Services not identified as Basic Services constitute Additional Services for which additional compensation may be due.

2 INITIAL ASSUMPTIONS

Kirksey will provide the necessary leadership and guidance to the SFA administrative planning committee on how best to utilize available funds for future capital construction projects and include the assistance of three key consultants in regards to making the best recommendations to move forward. The approach will be as follows:

- Evaluate each funding source for availability, constraints on expenditures, costs of funds, and expectations or limitations on use of each fund.
- Identify campus programs and departments that:
  - Hold a competitive advantage compared to other Texas public universities and for which SFA is known and recognized regionally and nationally
  - Have demonstrated enrollment resiliency, stability and/or growth
  - Have potential for continued growth and how capital improvements may facilitate growth, both in quality and quantity, and satisfy needed improvements.
- Investigate current revenues and upcoming revenue goals for each program as applicable, and identify various approaches to meet or exceed those goals.
- Review and summarize existing Physical Plant department internal documents on operating and maintenance conditions of each building(s) within those programs or departments, and make improvement recommendations.
- Incorporate campus residential study data and results from Facility Programming and Consulting and coordinate recommendations for targeted improvements.
- Conduct limited or cursory building condition assessments for specific identified programs or departments.
- Develop a solution (including scope synopsis, timeline and budget) for each identified need that may be satisfied by new building, existing building expansion/renovation, infrastructure upgrades, and/or other alternative(s).

The consultants involved in this study include:

- Project Control (Houston office) providing overall coordination and schedule management of the process, budgeting and cost estimating support, and organizing visioning and information gathering sessions from the assigned administration and Board of Regent personnel.

- Project Control will assist in defining and recommending how to allocate available funds for use throughout the campus. See Project Control proposal (attached Appendix A) for specific services being provided.

Kirksey ARCHITECTURE

- Facility Programming and Consulting (San Antonio office) providing coordination and data gathering efforts to identify the current condition and utilization of the campus residential housing stock. This effort will be supported by written architectural and MEP building assessments identifying current conditions and life expectancy of certain existing residential buildings on campus.

- Facility Programming and Consulting will assist in defining and recommending how to allocate available funds for use specifically with residential housing on campus. See Facility Programming and Consulting's proposal (attached Appendix B) for specific services being provided.

- DBR, Inc MEP Engineers (Houston) will assist Kirksey in developing architectural and MEP building assessments to determine the quality of some of the worst performing residential structures on campus, and make recommendations on how to treat these facilities moving forward.

Kirksey will manage and organize the overall process and produce the final report regarding any recommendations.

Kirksey will include SFA campus voices, such as those from the Physical Plant department, Academic leadership positions of departments that may be included in capital spending plans, residence hall directors, maintenance and custodial staff, and other vested parties, so that a variety of opinions are heard and noted.

Kirksey will provide all required graphics and illustrations to support the findings and prepare presentations of the final materials.

3 BASIC SERVICES

The Architect's Basic Services consist of those described herein and include services of the following consultants:

> Project Control (Houston) for budgeting and schedule management services; Facility Programming and Consulting (San Antonio) for Residential programming and utilization study services; DBR, Inc (Houston) for MEP Engineering building assessment services.

The Basic Services to be provided by each consultant, including site visits, shall be as stated in the consultant proposals, if requested.

A final report will be provided summarizing:

- The current state of specifically identified campus program or department facilities juxtaposed against qualified campus program needs.
- A concise description of funding sources and constraints.
- A recommended funds allocation plan to satisfy each program need and maximize the impact of these funds on the future of the university.

Executive Session

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

- Chief Information Officer Security Report

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, EEOC charges, *Ann Wilder v. SFASU*; *Christin Evans v. Sydney Miley, et al*; and *Marlene Kahla, Ph.D. v. Board of Regents of Stephen F. Austin State University, et al.* (Texas Government Code, Section 551.071)

Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the chief audit executive, director of athletics, head football coach, executive director for enrollment management, chief marketing communications officer, chief information officer, chief diversity officer, director of governmental relations, vice presidents and the president. (Texas Government Code, Section 551.074)

Stephen F. Austin State University

Board of Regents

Meeting 353

January 31, 2022

Stephen F. Austin State University
Board of Regents
Meeting 353
January 31, 2022

ROLL CALL

Regents

Karen Gantt, Chair
Tom Mason, Vice Chair
Jenn Winston, Secretary
David Alders
Robert Flores
Brigettee Henderson
Judy Olson
Laura Rectenwald
Nancy Windham
Spencer Coffey, Student Member

Administrators

Scott Gordon
Damon Derrick
Gina Oglesbee
Erma Brecht
Michara DeLaney-Fields
Anthony Espinoza
Brandon Frye
Graham Garner
Ryan Ivey
Judi Kruwell
Lorenzo Smith
Jill Still
Charlotte Sullivan

Academic and Student Affairs Committee

HANOVER RESEARCH – FACULTY AND STAFF SALARY STUDY

Presenter: Paul Gibson
Managing Director, Higher Education Research at Hanover Research

SHARED GOVERNANCE DOCUMENT

Explanation:

A shared governance document in higher education contains rationale, guidelines, and expectations for the decision-making process among staff, faculty, and the administration. It serves as a useful reference to advance equity, collegiality, transparency, empathy, efficiency of communication, and a spirit of good will among university employees. Because Stephen F. Austin State University does not have such a shared governance document, the staff, faculty and administration collaborated to create one.

Recommendation:

The administration recommends the approval of the shared governance document titled, *Shared Governance Document: December 11*, 2021, effective February 1, 2022.

Shared Governance Document

December 11, 2021

Stephen F. Austin State University
Shared Governance Document[1]

December 11, 2021

Introductory Statement

This document has been jointly developed by faculty, staff, students, and administration at Stephen F. Austin State University and serves as a statement of mutually agreed upon principles regarding university shared governance. All parties are committed to a common vision for the mission of the institution. Further, we recognize that the success of the institution and the morale of the faculty, staff, students, and administration are dependent upon the legitimate involvement and collaboration of these constituencies in the planning and decision-making processes within the University.

Overview

At Stephen F. Austin State University, we define shared governance as a structure and process for partnership, equity, accountability, and ownership in institutional decision-making among staff, faculty, students, and administration. Shared governance acknowledges that practice, policy, rules, regulations, and personalities must weave together to move toward a common goal of advancing our institutional mission. To function effectively, shared governance requires trust, consultation, communication, and respect.

This document serves as a commitment and guide to a unified faculty/staff/students/administration relationship that utilizes our collective experience, expertise, and intelligence to manage our complex interests and common objectives. Furthermore, the document serves as an acknowledgement that shared governance is essential and adds value to our institution. We believe shared governance between the faculty, staff, students, and administration remains the best way to advance our mission and status as a prominent independent regional comprehensive university. This document outlines the collaborative decision-making and shared governance principles and processes upon which we all agree.

We want to be clear on this point: Our faculty, staff, and students play critical roles in the management of Stephen F. Austin State University. This kind of collaborative decision-making is seen frequently in the Faculty Senate (which serves as the legislative and executive agency of the faculty), Staff Council (which advocates for, promotes the interests of, and addresses concerns of the staff), and the Student Government Association (which serves as the voice of the student body), but collaborative decision-making goes much further. Our system of joint leadership and shared governance also includes a wide-ranging matrix of faculty, staff, and student advisory and decision-making bodies that includes college councils, chairperson councils, dean councils, director councils, executive committees, search committees, promotion and tenure committees, strategic planning committees, student organizations, and more.

Definition

Shared governance is the process by which the members of the University community (i.e., staff, faculty, students, and administrators) have the opportunity to influence planning, decisions, policies, and procedures on operational, fiscal, and academic matters, as well as an opportunity to present alternatives on such matters. The objective of shared governance is to foster mutually reinforcing relationships that expand the opportunities for cooperation and leadership while facilitating judicious, yet creative, university governance. The features of shared governance include (but are not limited to) integrating input from all impacted stakeholders, sharing accountability and ownership, listening to all perspectives, and establishing guidelines for how to practice shared governance. The intent of the shared governance process is to balance efficiency and effectiveness with equity and fairness.

Shared governance includes mutual participation in the development of policy and in making decisions in the areas of strategic and budget planning, faculty, staff, and student welfare, selection and retention of academic and administrative officers, campus planning and development, and organizational accountability.

It should be noted that shared governance is not the replacement or elimination of positional leadership and leadership decision-making, nor does it represent a strategy inherently supporting the downsizing of leadership ranks, nor the elimination of reasonable self-governance, nor the abdication of leadership or decision-making responsibilities by those who carry such responsibilities.

In an environment of shared governance, those who will be affected by a decision on policy or procedures should be informed of and have the opportunity to influence governance decisions. A climate of shared governance relies upon consistent and trustworthy communication that is multidirectional and reciprocal. All participants in the shared governance process are accountable for the proper execution of their roles in a timely manner. Shared governance should permeate all levels of decision-making within the university community. Full and active participation at all levels of shared governance should be encouraged without fear of retribution or reprisal. Recommendations made through shared governance processes should be taken seriously and have actual influence in university decision making.

Guidelines

This document outlines shared governance guidelines and is intended to elaborate how faculty, staff, students, and administration address shared governance issues. These guidelines express a mutual desire to work together harmoniously and shall be interpreted to be consistent with all applicable laws, regulations, and policies, as well as the rules and regulations of the Stephen F. Austin State University Board of Regents. These guidelines represent a commitment of the parties, not a legal contract. This document does not supplant the SFA Policy Manual.

Representation

Predicated on a sense of community, all parties involved in shared governance will assume a stance of inclusion rather than exclusion. Involvement should be driven by the nature of the issue at hand, acknowledging that certain functional or governance areas may be of greater concern to a specific group due to occupational importance, experience, or expertise. Representation in shared governance decision-making should be proportional to the level of impact on the affected constituencies. However, efficiency and effectiveness should not be sacrificed for the sake of proportionality. Representation should reflect the diverse nature of the university community. Finally, while representation in the process of shared governance is critical, participants in shared governance are also considerate of the resultant impacts of decisions on those tasked with implementation.

The Faculty Role in Shared Governance

The faculty represents the academic core of Stephen F. Austin State University. The faculty delivers instruction, carries out research, performs service for its profession and the community, and participates in the management of the University through shared governance. In the areas of intellectual development and instruction, the interest of the faculty is primary. The faculty will exercise its role in shared governance through and by service in the Faculty Senate, in the academic colleges and departments, and on university strategic and task force committees. The faculty's involvement in shared governance includes, but is not limited to, the areas of curriculum, subject matter and methods of instruction, university budgeting, research, faculty status, faculty employment and welfare, faculty searches, evaluations, and tenure and promotion standards, and those aspects of student life which relate to the educational process. Faculty responsibilities are outlined in the SFA Policy Manual.

The Staff Role in Shared Governance

The staff are the logistical and operational backbone of Stephen F. Austin State University. The staff provide critical and effective operational, academic, and student support, complement academic programs, and participate in the management of the University through shared governance. The staff will exercise its role in shared governance through and by service on the Staff Council, in their respective departments, and on university committees. The staff's involvement in shared governance includes, but is not limited to, the areas of student affairs, financial services, academic support, university budgeting, information and instructional technology, research, advancement, physical resources, operations and logistics, institutional effectiveness, and staff/service employment and welfare. Staff responsibilities are outlined in the SFA Policy Manual.

The Student Role in Shared Governance

Students are free, individually and collectively, to express their views on issues of institutional policy and on matters of interest to the student body. The University seeks to

ensure that students have appropriate input on the making of significant policy, program, procedure, and budget decisions. The Student Government Association (SGA) serves as the collective voice of the student body. The roles and responsibilities of the Senate are described in detail in the SGA Bylaws. The President of the University, the Vice President of Student Affairs, the Chief Diversity Officer, and the Assistant Vice President of Student Affairs/Dean of Students must maintain a close working relationship with the Student Government officers. Many other recognized student organizations and groups provide valuable advice to the university administration on matters that are of particular interest to their membership or to the student population in general.

The university administration will use both formal and informal means in order to remain aware of the needs and views of the students. The opinions of students are sought, heard, and considered in significant decisions affecting the University.

The Administration Role in Shared Governance

The responsibilities of administrators in shared governance include forming and articulating a vision for the University, providing strategic leadership, and managing resources, finances, external affairs, and operations.

Administrators participate in the shared governance process in a manner designed to foster the smooth, efficient, and effective management of the University, while involving faculty, staff, and students. Administrative responsibilities are outlined in the SFA Policy Manual.

The Board of Regents Role in Shared Governance

The governance of Stephen F. Austin State University is vested by law in the Board of Regents. Within the limits set by the Texas State Constitution and by federal and state laws, the Board of Regents represents the final authority in all matters affecting the institution, and it exercises jurisdiction over the institution's financial, educational, and other policies as well as its relationship with the state and federal government. Board of Regents' responsibilities are outlined in the SFA Policy Manual and the Board of Regents Rules and Regulations.

Desired Shared Governance Goals and Outcomes

The University's published policies and procedures along with federal, state, and accreditor rules and regulations represent the authoritative frameworks within which shared governance operates. When done well, shared governance results in the consultation of all stakeholders, is respectful of stakeholder experience and expertise, and is mindful of the resultant impacts on stakeholders. The spirit of shared governance requires all parties to seek mutually acceptable recommendations. When compromise and concurrence cannot be achieved, rationale for administrative decisions should be provided in written form to the affected parties, who may present a written statement of their

position and/or any objections to the decision as part of the institution's or a sub-unit's record on the issue. However, the spirit of shared governance requires that the administrative rejection of shared governance recommendations remain rare and be taken only for compelling reasons. Once a decision is reached, all parties should be supportive of the implementation process.

Each year in March, the President, Provost, and representatives from the Faculty Senate, the Chairs' Forum, the Staff Council, the Student Government Association, and the Deans' Council shall meet to review and update this document subject to approval by the Board of Regents.

[1] The following resources and documents have been utilized in developing the conceptual ideas, definitions, framework, language, etc.

AAUP Resources on Shared Governance:
https://www.aaup.org/our-programs/shared-governance/resources-governance

AGB Statement on Governance: https://agb.org/wp-content/uploads/2019/01/2017_statement_sharedgovernance.pdf#:~:text=This%20Statement%20on%20Shared%20Governance%2C%20approved%20by%20the,achieve%20and%20support%20healthy%20and%20high-functioning%20shared%20governance.

University of Arizona "Memorandum of Understanding on Shared Governance":
https://facultygovernance.arizona.edu/find-policy/shared-governance-ua

Illinois State University "Policy on Shared Governance":
https://illinoisstate.edu/administration/

University of Washington "Shared Governance at the UW":
https://www.washington.edu/informedchoice/shared-governance/

University of Northern Alabama "Shared Governance Document":
https://www.una.edu/sharedgovernance/sg-document,-2020-21.1-5-21.pdf

University of Louisiana Monroe "Principles of Shared Governance":
https://www.ulm.edu/sharedgovernance/documents/ulm_principles_of_shared_governance.pdf

Cal State-Santa Barbara, "Shared Governance":
https://www.csusb.edu/shared-governance

Chronicle of Higher Education, "Exactly what is 'shared governance'?"
https://www.chronicle.com/article/exactly-what-is-shared-governance/

College and University Business Administrators
https://www.nacubo.org/-/media/Nacubo/Documents/products/CUBAChapterGovernance(1).ashx

ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Academic and Student Affairs Committee will consider: the curricula of the various colleges and departments of the university with any other matters dealing with academic programs and the progress thereof; the research programs within the university and their relationship to all graduate education; student affairs within the university; and personnel matters within the university.

The following policies are necessary to incorporate organizational, job title, and regulatory changes and to improve the flow of information in the above areas of responsibility. The general counsel has reviewed the proposed revisions.

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented:

Affirmative Action 11.1
Curation of Archaeological Collections 5.6
Employee Affirmative Action/Recruitment Plan 11.9
Faculty and Staff Athletic Ticket Purchases 12.8
Faculty Code of Conduct 7.11
Final Examination Scheduling 7.14
Health and Safety 13.10
Mail Services 16.16
Meeting and Conducting Classes 7.18
Return to Work 11.24
Social Media 15.11
Student Medical Appeal 6.24
Student Service Fee Allocations 10.11
Ticket Office Services 16.29

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Affirmative Action

Policy Number: 11.1

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

Date of last revision, if applicable: 1/29/19

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

Purpose of Policy (what does it do): Stephen F. Austin State University is fully committed to the national and state goal of affording equal employment opportunity to all persons without regard to race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
John Wyatt, Interim Director of Human Resources
Damon Derrick, General Council

Affirmative Action

Original Implementation: Unpublished
Last Revision: ~~January 29, 2019~~ *February 1, 2022*

Purpose

Stephen F. Austin State University is fully committed to the national and state goal of affording equal employment opportunity to all persons without regard to race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status.

Definitions

Affirmative action means that a search for the best qualified applicant was conducted actively among those groups usually discriminated against and that a major effort was made to find the best qualified individual by actively seeking applications from such groups as required by federal regulations.

General

The university's fundamental policy ~~will be~~ *is* to provide *an* equal employment opportunity in all of its operations, ~~and in~~ all areas of employment practices, and to assure that there shall be no discrimination against any employee or applicant for employment on the grounds of race, color, religion, national origin, sex, age, disability, genetic information, citizenship,~~and~~ *or* veteran status. Additionally, discrimination is prohibited on the basis of sexual orientation, gender identity, and gender expression. The university*'s* policy extends to recruiting, hiring, training, compensation, overtime, job classifications, work conditions, promotions, transfers, employee treatment, suspensions, terminations, layoffs, return from layoffs, tuition aid, recreational programs, and all other terms, conditions, and privileges of employment. The following special guidelines apply to university employment practices:

1. Provide equal pay for equal work.
2. Provide hiring standards that do not discriminate on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, veteran status, sexual orientation, gender identity, or gender expression.
3. In general, an employer may hire the individual best qualified to perform a particular job but must take affirmative action that will open up job opportunities on all levels to women, minorities, disabled individuals, and veterans.
4. Requirements must be job related and qualifications must be the minimum needed for entrance to a given job.
5. Recruiting efforts must reach minority and women applicants.

6. Selections must be made following strict guidelines that prevent discrimination in all phases of the selection process: job analysis, uniform classification, retention and maintenance of applications, interview practices, and notification of results of the selection process. Appointments must be made considering only job-related factors.

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

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

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Curation of Archaeological Collections

Policy Number: 5.6

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

Date of last revision, if applicable: 7/23/2019

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

Purpose of Policy (what does it do): Policy for the Anthropology and Archaeology Lab located here on campus.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Deletion of Revenue Sharing paragraph and addition of information regarding storage of documents.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
Damon Derrick, General Counsel

Curation of Archaeological Collections

Original Implementation: April 20, 2010
Last Revision: ~~July 23, 2019~~*February 1, 2022*

The Anthropology and Archaeology Lab (AAL) is a scientific research facility operated by the Department of Anthropology, Geography, and Sociology. The laboratory is certified by the Texas Historical Commission and is therefore eligible to charge for the curation of held in trust (HIT) archaeological collections, *and also for the storing of documents of Texas state projects where no artifacts were collected*. If accepted for curation, collections remain the property of the state of Texas, but Stephen F. Austin State University (SFA) agrees to care for them as stipulated by Texas Historical Commission guidelines. The AAL shall maintain a Collections Management Policy as defined in Rule 29.9 of the Texas Administrative Code. Collections must be prepared, recorded, and described according to the AAL's Collections Management Policy.

Eligible Collections

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

Curation Fees

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

~~Revenue Sharing~~

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

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

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

Contact for Revision: Chair of the Department of Anthropology, Geography, and Sociology

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Employee Affirmative Action/Recruitment Plan

Policy Number: 11.9

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

Date of last revision, if applicable: 1/29/19

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

Purpose of Policy (what does it do): Stephen F. Austin State University affirms its intention to comply with an affirmative action/recruitment plan developed to assure equal access to employment opportunities.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: No changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
John Wyatt, Interim Director of Human Resources
Damon Derrick, General Counsel

Employee Affirmative Action/Recruitment Plan

Original Implementation: February 3, 2005
Last Revision: ~~January 29, 2019~~ *February 1, 2022*

Purpose

Stephen F. Austin State University affirms its intention to comply with an affirmative action/recruitment plan developed to assure equal access to employment opportunities.

Definitions

Affirmative action means that a search for the best qualified applicant was conducted actively among those groups usually discriminated against and that a major effort was made to find the best qualified individual by actively seeking applications from such groups as required by federal regulations.

General

Equal opportunity is the law of the land. In the public sector of our society this means that all persons, regardless of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, or veteran status shall have equal access to positions in public service limited only by their ability to do the job. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression.

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

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

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

Stephen F. Austin State University affirms that it shall be its public policy not to discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, or veteran status. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression. Further, the university shall take all necessary steps to ensure the employment

and promotion of otherwise qualified classes who may be underrepresented in the university's workforce.

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

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

Program Responsibilities

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

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

The human resources office should be contacted for specific procedures related to recruitment of faculty and staff.

Program Goal

The program’s goal is to ensure objectivity, consistency, uniformity and job relatedness through design and implementation of appropriate personnel policy and procedural systems that affect the equal employment opportunities of the university's employees and applicants for employment.

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

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Faculty and Staff Athletic Ticket Purchases

Policy Number: 12.8

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

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

Unit(s) Responsible for Policy Implementation: Director of Athletics

Purpose of Policy (what does it do): Allows for discounted ticket prices for university faculty/staff.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for <u>each</u> substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ryan Ivey, Director of Athletics
Damon Derrick, General Counsel

Faculty and Staff Athletic Ticket Purchases

Original Implementation: Unpublished
Last Revision: ~~January 29, 2019~~*February 1, 2022*

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

The Department of Intercollegiate Athletics will inform university faculty and staff of the availability of discounted season tickets on at least an annual basis. Faculty/staff season tickets are not honored during post-season play.

Cross Reference: None

Responsible for Implementation: Director of Athletics

Contact for Revision: Director of Athletics

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Faculty Code of Conduct

Policy Number: 7.11

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

Date of last revision, if applicable: 1/29/2019

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

Purpose of Policy (what does it do): Tax-supported colleges and universities must function in accordance with the public trust, and actions by faculty within them must be consistent with the execution of that trust. This policy outlines offenses representing breaches of that trust and violations of the SFASU Faculty Code of Conduct.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Cross Reference policy update and job title updates under Responsible for Implementation and Contact for Revision.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
Damon Derrick, General Counsel

Faculty Code of Conduct

Original Implementation: April 28, 2005
Last Revision: ~~January 29, 2019~~*February 1, 2022*

Tax-supported colleges and universities must function in accordance with the public trust, and actions by faculty within them must be consistent with the execution of that trust. The following offenses represent breaches of that trust and violations of the Stephen F. Austin State University Faculty Code of Conduct:

A. Plagiarism;

B. Forgery or unauthorized alteration or use of university documents, records or identification materials;

C. Knowingly furnishing false information to the university, or failure to acquire and maintain appropriate licensure and certification required for supervision and practice;

D. The use of violent or other forceful methods to obstruct the functions of the university, which include teaching, research, administration, public service, presentations by guest lecturers and speakers, and other authorized activities;

E. Physical abuse of any person on university-owned or controlled property or at university-sponsored or supervised functions, or conduct that threatens or endangers the health or safety of any such person;

F. Executing professional responsibilities related to teaching, research supervision, committee work, and similar faculty responsibilities that involve a student related to the faculty member within the second degree of affinity or third degree of consanguinity as defined in university policy 11.16, Nepotism;

G. Theft of or negligent damage to the university or to the property of a member of the university community or a campus visitor;

H. Unauthorized entry to or use of university facilities or resources;

I. Unlawful manufacture, distribution, dispensing, possession, or use of controlled substances, or any substance the possession or distribution of which is regulated by federal or Texas law, except where the manufacture, distribution, dispensing, possession, or use are in accordance with the laws of each (*s*~~S~~ee Illicit Drugs and Alcohol Abuse ~~(~~*[*13.11*]*~~)~~);

J. Discrimination and/or sexual misconduct as determined under university policy (*s*~~S~~ee Nondiscrimination ~~(~~*[*2.11*]*~~)~~*]*, Sexual Misconduct ~~(~~*[*2.13*]*~~)~~*]*);

K. Lewd, indecent, or obscene conduct or language on university-owned or controlled property or at a university-sponsored or supervised function;

L. Unprofessional conduct; that is, behavior that a reasonable person in a professional setting would find inappropriate, rude, disorderly, or offensive, and that is persistent, destructive and/or intimidating;

M. Violation of other promulgated university policies or rules;

N. Conviction of a criminal or civil offense that reflects negatively upon the university.

Procedures

1. Each faculty member is required to notify his or her immediate supervisor of any felonious criminal conviction no later than five days after such conviction. Additionally, each faculty member is required to notify his or her immediate supervisor of alleged violations of D, E, F, I, J or M no later than five days after any faculty member becomes aware of such alleged violation.

2. Faculty members are required to abide by the terms of this policy as a condition of employment.

3. Alleged violations of the standards established in this policy should immediately be brought to the attention of the academic unit head to whom the individual is responsible. The academic unit head will then immediately notify the dean of the college, if part of a college. The dean of the college, or academic unit head if not part of a college, will inform the provost and *executive* vice president for academic affairs *(EVPAA)* of the alleged violation without delay. The *EVPAA*~~provost and vice president for academic affairs~~ will immediately notify the president and general counsel. The general counsel will determine whether the alleged violation should be investigated pursuant to the Faculty Code of Conduct or other applicable policy. If the investigation is to proceed under the Faculty Code of Conduct, the *EVPAA*~~provost and vice president for academic affairs~~ or his or her designee will immediately investigate the incident and promptly provide a written report to the president which includes the allegation, scope, findings and results of the investigation, and recommendation for action, if any. The president may accept, modify, or reject the report and/or recommendation. The faculty member will be notified in writing of the president's determination and any action to be taken.

4. Violations of the standards established in this policy can result in the assessment of a penalty ranging from an oral reprimand to termination. Tenured and tenure-track faculty members are also subject to standards and procedures in the Tenure policy (7.29).

5. Faculty members may appeal disciplinary action, other than dismissal or non-renewal, taken pursuant to this policy by following the appeal procedure outlined in Faculty Disagreements (7.25). If the president determines that dismissal or non-renewal is appropriate, the procedures

outlined in Termination and Non-Renewal of Contracts Procedural Guarantees in Tenure (7.29) will control.

Cross Reference: Tenure (7.29); Nondiscrimination~~Discrimination Complaints~~ (2.11); Sexual Misconduct (2.13); Property Inventory and Management (17.14); Use of University Facilities (16.33); Illicit Drugs and Alcohol Abuse (13.11); Faculty Disagreements (7.25); Misconduct in Scholarly or Creative Activities (7.19); Misconduct in Federally Funded Research (8.7); Ethics (2.6)

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

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

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Final Examination Scheduling

Policy Number: 7.14

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

Date of last revision, if applicable: 1/29/2019

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

Purpose of Policy (what does it do): To ensure that faculty members hold class during finals week according to the official final exam schedule.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
Damon Derrick, General Counsel

Final Examination Scheduling

Original Implementation: June 16, 1982
Last Revision: ~~January 29, 2019~~*February 1, 2022*

Faculty members will hold class during finals week according to the official final exam schedule. Any exceptions must be approved by the academic unit head prior to the start of the semester.

Class meetings during finals week, for courses taught at times not listed in the final exam schedule, including but not limited to distance education courses, online courses, and evening or weekend courses, should be scheduled in consideration of resource availability.

All final examinations or course activities must be scheduled to conclude by midnight on the last day of the final exam schedule. Exceptions may be made by the appropriate academic dean.

Cross Reference: Faculty Handbook; Dead Week (7.8)

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

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

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Health and Safety

Policy Number: 13.10

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

Date of last revision, if applicable: 1/29/2019

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

Purpose of Policy (what does it do): This policy affirms the university's commitment to protect the health and safety of its employees, students, and the general public, as well as the university's physical and financial assets. This document establishes the authority and responsibility for the proper management of the university's health and safety program, which is achieved through appropriate compliance with university policies, procedures, and applicable laws and regulations. It also intends to create an awareness of and a commitment to an effective safety program among all members of the university community.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Minor changes

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Dr. Jeremy Higgins, Director of Environmental Health, Safety, and Risk Management
Damon Derrick, General Counsel

Health and Safety

Original Implementation: February 11, 1977

Last Revision: ~~January 29, 2019;~~ *February 1, 2022*

Purpose

This policy affirms the university's commitment to protect the health and safety of its employees, students, and the general public, as well as the university's physical and financial assets. This document establishes the authority and responsibility for the proper management of the university's health and safety program, which is achieved through appropriate compliance with university policies, procedures, and applicable laws and regulations. It also intends to create an awareness of and a commitment to an effective safety program among all members of the university community.

Enterprise Risk Guidelines is *are* the primary program document for the university's safety and health program. It is *was* developed by the State Office of Risk Management and provides the direction and basis for developing and implementing a comprehensive *risk management program.*

General

The primary concern of the health and safety program is the safety and well-being of the students, faculty, staff, and visitors. The program is promoted through safety procedures, hazard identification, training, and loss-control measures focused on the reduction of accidents and risk. This policy applies to all university employees, students, university affiliates, visitors, and owned or leased facilities, buildings, or property.

Responsibility and coordination of various aspects of the university's health and safety program is vested in the Environmental Health, Safety, & Risk Management (EHSRM) Department that reports to the vice president for finance and administration of the university. EHSRM will ensure the university is compliant with all applicable federal and state laws and regulations relating to health and safety. The Risk Management for Texas State Agencies *(RMTSA) Enterprise Risk* Guidelines, published by the State Office of Risk Management, is the primary program document for the university's safety and health program. While health and safety compliance rests primarily with EHSRM, it is also the responsibility of all university members to comply with the health and safety policy, procedures, trainings, and inspections.

Responsibilities are assigned to individuals at appropriate levels of authority and expertise as follows:

The responsibility for physical safety, fire and life safety protection and emergency protocols, occupational health and safety, risk management, safety training and inspections, workers'

compensation, acquiring adequate property insurance coverage, environmental safety, hazardous and radioactive materials, asbestos management, laboratory safety, and accident prevention and investigation is assigned to the director of environmental health, safety, and risk management (EHSRM), who reports to the vice president for finance and administration. The director of EHSRM also serves as the official university contact for federal and state agencies regarding environmental and occupational safety and health.

- The responsibility for campus security, emergency procedures, traffic control, criminal investigation, and civil order is assigned to the chief of university police who reports to the vice president for ~~university affairs~~*finance and administration*.
- The responsibility for the maintenance of the health of students is assigned to the ~~*interim*~~ director of university health services, who reports to the vice president for ~~university~~ *student* affairs.

Providing a Safe Workplace

Facilities will be designed in a manner consistent with health and safety regulations and standards of good design. University departments responsible for the design, construction, and/or renovation of facilities shall consult in a timely manner with EHSRM to ensure that there is appropriate health and safety review of facility concepts, designs, fire protections, and plans.

Faculty and staff supervisors, in coordination with EHSRM, shall ensure that personnel receive proper safety training as required by their job task or by result of hazard identification. SFA encourages employees and students to report health and safety hazards to their supervisors or EHSRM. Employees and students shall not be retaliated against in any manner for bona fide reporting of health and safety hazards to SFA.

Faculty and staff supervisors, in coordination with EHSRM, shall ensure that regular, periodic inspections of workplaces are conducted to identify and evaluate workplace hazards and unsafe work practices. Means of correcting discovered hazards and/or protecting individuals shall be determined and implemented appropriately and in a timely manner. Unsafe conditions which cannot be corrected by the supervisor must be reported to department management and EHSRM.

Any individual who becomes aware of a situation immediately dangerous to health or safety shall promptly report the danger to EHSRM and to the faculty, staff, and students who may be affected. The director of EHSRM has the authority to intervene or shut down any university activity considered to present a clear and imminent danger to health or safety. This shall remain in effect until the danger has passed or been mitigated to the extent that the imminent danger no longer exists.

Support

In addition to these specific responsibilities, it shall be the general responsibility of all SFA employees

and students to keep themselves informed of conditions affecting their health and safety; to comply with SFA health and safety policies, programs, procedures, and practices; to participate in training and inspection programs provided by their supervisors and EHSRM; and to adhere to healthy and safe practices in their workplace, classroom, and laboratories.

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

Implementation

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

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

Responsible for Implementation: Vice President of Finance and Administration

Contact for Revision: Director of Environmental Health, Safety, and Risk Management

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Mail Services

Policy Number: 16.16

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

Date of last revision, if applicable: 1/29/2019

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

Purpose of Policy (what does it do): Regulation of mail services (receiving and distribution)

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Carrie Charley, Executive Director, Campus Living, Dining and Auxiliary Enterprises
Brandon Frye, Vice President of Student Affairs
Damon Derrick, General Counsel

Mail Services

Original Implementation: September 1, 1965
Last Revision: ~~January 29, 2019~~*February 1, 2022*

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

The Stephen F. Austin State University Post Office is considered the official receiving point for all mail and packages not requiring SFA inventory tags on behalf of university offices, departments, residence halls and apartments.

University departments and administrative offices will use the SFA Post Office for all postal transactions. Departments will not be permitted to purchase or retain stamps without written permission from the university president. A copy of the written permission will be filed in the SFA Post Office.

All SFA mail is considered delivered when the Nacogdoches Post Office delivers it to the SFA Post Office.

SFA Post Office staff will attempt to deliver incorrectly addressed mail according to USPS requirements. Business mail addressed only to the university will be sent to the Business Office for proper routing.

Post Office box numbers must be used on all correspondence.

All outgoing mail requiring metered postage, or mailed under SFA permit, must be for official university business and have a complete return address with "Stephen F. Austin State University" and the department of origin used within the address. A completed postage IDT card must be attached to the mail to ensure proper accounting of postal charges. Mail (other than bulk rate) must be received in the post office by 4:00 p.m. for dispatch the same day.

Campus mail is defined as mail related to official university business and is delivered to campus boxes without postage. Mail addressed to USPS boxes 4600-4659 and all personal mail requires postage.

All campus mail should be enclosed in a campus mail envelope. If other envelopes are used, they must be marked “Campus Mail” and have a complete return address including the department of origin and the box number.

All residents of university-owned housing are required to have a*n* SFA Post Office box and notify correspondents of the box number.

Retired faculty or staff members are permitted to retain a box at their own expense on a space-available basis.

It is the responsibility of each department to distribute, forward or return mail addressed to personnel within the department.

-*The* SFA Post Office will remain open on U.S. Post Office holidays not observed by the university, unless notification is made in advance, but mail will not be delivered or picked up on that day. Instead it will be delivered or postmarked on the first normal day of business following the holiday.

Cross Reference: None

Responsible for Implementation: Vice President *of*~~for~~ ~~University~~ *Student* Affairs

Contact for Revision: Manager of University Post Office

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

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Meeting and Conducting Classes

Policy Number: 7.18

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

Date of last revision, if applicable: 1/29/2019

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

Purpose of Policy (what does it do): Policy for faculty for the understanding that classes will be held at the assigned time only. Explains procedure for if a class cannot meet at ehe scheduled time.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor changes for clarification.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
Damon Derrick, General Counsel

Meeting and Conducting Classes

Original Implementation: June 16, 1982
Last Revision: ~~January 29, 2019~~*February 1, 2022*

Faculty members will meet their assigned classes at the officially scheduled times and *in the officially identified* places. When a faculty member cannot meet an assigned class, the faculty member will notify the academic unit head prior to the scheduled class meeting, or as soon as possible after the start time of the class, so that a timely announcement can be made to the students. Courses will beconducted in accordance with the descriptions contained in the university's General Bulletin and Graduate Bulletin.

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

Cross Reference: General Bulletin, Graduate Bulletin, Faculty Handbook

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

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

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Return to Work

Policy Number: 11.24

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

Date of last revision, if applicable: 11/15/21

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

Purpose of Policy (what does it do): 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.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for <u>each</u> substantive revision: Minor changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
John Wyatt, Interim Director of Human Resources
Jeremy Higgins, Director of Environmental Health, Safety, and Risk Management
Damon Derrick, General Counsel

Return to Work

Original Implementation: January 28, 1997
Last Revision: ~~January 29, 2019~~ *February 1, 2022*

Purpose

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

General

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

Each case will be evaluated on an individual basis according to the limitations of each employee as documented by a physician and the job responsibilities of the position. In the event of a worker's compensation injury or illness, the physician's restrictions must be documented and submitted on the Worker's Compensation Work Status Report DWC-073, including a thorough assessment of the employee's ~~specifications~~ *limitations when* considering ~~their official job description~~*modified duty*. A copy of the job description will be provided to the ~~physician~~ *safety officer* and can be obtained from the director of human resources, if requested. Failure to provide the appropriate documentation for *modified* ~~light or medium~~ duty return to work conditions may be grounds, among others, for denial of ~~light or medium~~*modified* duty assignments. ~~Light~~ *Modified* duty, if offered, is limited to a specific time frame and ~~may not exceed 12 weeks before being upgraded to medium work, then on to~~*requires a doctor's release in order to return to* regular *full duty* work. All modified duty or restrictions to the employee's normal job duties as described on the official job description must be approved and accompanied by an Offer of Employment. The Offer of Employment is prepared by the safety officer and presented to the employee by the supervisor or department head. The university will request a release from the employee for direct communication with the physician regarding those matters that directly relate to return to work assessments. The university reserves the right to properly assess and verify the employee's physical capabilities as they relate to the job.

This return to work program shall not be construed as recognition by Stephen F. Austin State University, its management, or its employees that any employee who participates in the program has a disability as defined by the Americans with Disabilities Act Amendments Act (ADAAA) of 2008. If an employee sustains an illness or injury that results in a disability under the ADAAA, it is the employee's responsibility to inform the*ir immediate* supervisor ~~or a person in a responsible management position~~ *as soon as practical* that a disability under the ADAAA exists and that a reasonable accommodation will be necessary to perform the essential functions of the position held. Once the employee has informed the*ir-* supervisor, the human resources director *or their designee* must then be informed. Reasonable accommodations may be granted in conjunction with the physician's assessment of the employee's capabilities as it relates to the job and the needs of the university and as described in the Reasonable Workplace Accommodation for Disabilities policy (11.22).

As each situation arises, the case will be evaluated independently by the supervisor, ~~head of~~ department *head*, 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 *determination of appropriate*~~justifiable~~ accommodations. *The director of h*~~H~~uman resources *or their designee* conveys *what, if any, reasonable* ~~the conditions and requirements of~~ accommodations *will be made*~~granted~~ to the employee *and management*.

Cross Reference: Family and Medical Leave (12.9); Workers Compensation Coverage (12.23); Reasonable Workplace Accommodation for Disabilities (11.22); Americans with Disabilities Act of 1990, 42 U.S.C. § 12101, as amended by the Americans with Disabilities Act Amendments Act of 2008, Pub. L. No. 110-325, 122 Stat. 3553; Family and Medical Leave Act of 1993, 29 U.S.C. §§ 2601-2654

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: Worker's Compensation Work Status Report DWC-073, Offer of Employment (available in**:** Environmental Health, Safety, and Risk Management Department)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Social Media

Policy Number: 15.11

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

Date of last revision, if applicable: 7/27/2021

Unit(s) Responsible for Policy Implementation: Chief Marketing Communications Officer

Purpose of Policy (what does it do): The purpose of the social media policy is to offer guidance to Stephen F. Austin State University employees, organizations and stakeholders in making appropriate decisions with social media management and communication on behalf of the university or for university-affiliated accounts.

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

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

☐ Internal Review ☒ Other, please explain: addition of best practices

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Official social media accounts should create accessible content that follows ADA guidelines and ensures all audience members can experience content as it is intended.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Graham Garner, Chief Marketing Communications Officer
Damon Derrick, General Counsel

Social Media

Original Implementation: July 28, 2015
Last Revision: ~~July 27, 2021~~*February 1, 2022*

Overview
This policy is designed to help Stephen F. Austin State University employees and organizations in making appropriate decisions when creating/managing social media accounts and developing social media initiatives on behalf of the university. It also provides guidelines to advise employees who indicate an institutional affiliation on their personal social media profiles. This document provides general considerations, but it does not provide guidance on planning, content or performance measurements.

Social media is a broad term used to describe internet-based platforms and applications designed for online social interaction. It fosters interaction among individuals who participate in social networking via the use of virtual communities and networks. Any website, online application or platform that enables its users to interact with it and its visitors falls into the definition of social media.

Social media platforms include Facebook, Twitter, Instagram and LinkedIn, among many others. These platforms are an important communication and marketing tool for the university and can provide vital information and engagement opportunities to prospective and current students, alumni and other stakeholders.

Accounts must be owned and maintained by university employees and avoid the use of a personal or person-specific email address. More than one employee must have login information or administrator access to accounts. Account access must be provided to University Marketing Communications with contact information of all university social media account managers. Information must include the existence, creation or deactivation of any and all university-affiliated social media accounts.

Student workers can be helpful content creators, but must not be owners of any official university account.

Terms of use and deletion policy
University-managed online communities are intended to inform users of university-related news and events, and to foster discussion and a sense of community among users. Users may share their opinions and comment freely about the topics the university posts. The university asks that comments are respectful and professional.

Do not delete or hide comments because of disagreement or in reaction to a commenter who reacted negatively.

SFA social pages exist to serve those affiliated with the university. All social media accounts affiliated with the university must adhere to guidelines available in the Identity Standards Manual, developed by the Division of University Marketing Communications. The manual is approved by, and may be modified by, the university president.

Social media communications (messages, etc.) that fall within the Texas State Records Retention Schedule requirements are considered public records and are subject to the Texas State Records Retention Schedule requirements. Social media communications are included in the record series titled "Social Networking Communications" in the SFA Records Retention Schedule.

Suspension of Records Disposition (Legal Holds): A state record may not be destroyed if any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the record is initiated before the expiration of a retention period for the record set by the Texas State Library and Archives Commission, or in the approved records retention schedule of the agency, until the completion of the action and the resolution of all issues that arise from the action, or until the expiration of the retention period, whichever is later (Texas Government Code Section 441.187).

Social media content that is not a duplicate record, transitory, or retained elsewhere must be captured by the administrator and maintained for the full retention period of the appropriate record series. The program area will be responsible for selecting the method of record archiving and purging, subject to the approval of the appropriate records management coordinator.

Expectations and account best practices:

Continually maintain university-affiliated social media accounts and deactivate or delete dormant social media accounts.
Departments, offices and organizations are responsible for creating content and should make posts on a regular basis, which may be multiple times a day, daily, weekly or a few times per month. It is likely that an account that posts less frequently than monthly will be deemed dormant. A minimum of one post per week is advised.

Confidentiality
Confidential information should never be disclosed, unless consent has been given and the information is shared accurately.

Care should be exercised with photographs taken on campus or during official university events when posted in a public domain. Be mindful of what the image(s) might reveal (e.g., in the background). Ensure that anyone prominently featured in the photograph has given their express consent to the photo being posted online. Photographs of minors must have parental/guardian consent.

Authorization and approvals
Obtain permission from both departmental supervisors and University Marketing Communications before making any significant announcement (e.g., campus closure, crisis communication, emergency notifications, etc.) on behalf of the university. Best practice is to wait until an announcement is first shared on the university's main accounts before distributing (sharing) the information.

Follow the university's Identity Standards Manual to ensure university logo usage compliance. Use current logos only.

Employee use of social media
All employees acting within the scope of their employment are expected to adhere to the same standards of conduct online as they would in the workplace. Social media usage is governed by the same policies that govern other electronic communications, as well as applicable state and federal laws, and NCAA rules and regulations. Any content and/or online activity created by a poster or site moderator that violates these laws and regulations is strictly prohibited and will be removed in accordance with this policy.

Professional use of social media
Social media allows university representatives and employees to communicate and network with internal and external audiences. The university recognizes that some employees use various social media platforms as part of their assigned work duties.

While participating in any of the university's social media activities, faculty and staff must be mindful that they are representing the university and must follow appropriate guidelines.

Personal use of social media
The university allows the occasional use of social media channels during the working day, but this must not interfere with job commitments and duties.

When posting in a personal capacity, an individual may still be identified as an employee of the university even if this is not stated on their account, so they should be mindful of their audience and what is being posted in a public domain.

Accessibility:

All SFA-affiliated social media accounts must comply to state and federal accessibility laws and make content accessible to people of all abilities so they have equal opportunity to experience the content as it is intended.

All social media content, including text, images, graphics and videos, must meet current accessibility guidelines. See the state of Texas Rules and Regulations for information on meeting requirements of the Americans with Disabilities Act.

Alternative Text Descriptions for Images
Always provide alternative text descriptions for images and graphics when social media platforms allow for them. Alternative text descriptions should provide a clear and thorough description of an image and include all text used in graphics.

Captioning Videos
Video content must include captions for the benefit of those who are deaf or hard of hearing. Captions can be either closed (where a user can turn them on and off) or open (where the text is embedded into the video and cannot be turned on or off).

Context for Animated GIFs

On platforms that allow for alternative text descriptions on GIFs, provide them in the same manner as for still images.

CamelCase Hashtags
For hashtags that include multiple words, use initial capitalization, also known as CamelCase. Utilizing this technique makes the hashtag easier to read for all users and screen readers. Example: #PurplePride #SpiritFriday (rather than #purplepride #spiritfriday)

Imported Font/Typeface
Text in a font/typeface created outside a social media application is not accessible to people who use screen readers and therefore must not be used.

Security
Employees must familiarize themselves with the terms of use, privacy policy and other policies of social media platforms and networks they use. They must ensure they have protected themselves and colleagues by setting the appropriate levels of security in professional accounts on social media sites and networks. Employees must be up-to-date on all social media and networking trainings. Employees can find required trainings in their mySFA account.

Intellectual property
Use of copyrighted or trademarked material without permission in digital content may be illegal and may expose the university to financial liability. Divisions, offices and departments are responsible for obtaining clearance for use of intellectual property rights (e.g., music and photos). They also are responsible for bearing all costs associated with such clearance of rights, including any costs that may arise if the necessary clearance(s) is/are not obtained, such as legal and settlement costs.

Use good judgment
Employee actions and statements can affect others at the university and the university as a whole. Posts on social media can be replicated quickly, be taken out of context, and will remain public for an indeterminate amount of time.

Assistance
Those who need assistance on a matter related to social media may contact the Division of University Marketing Communications.

Cross Reference: Tex. Gov't Code § 441.187; Identity Standards Manual; Records Retention Schedule

Responsible for Implementation: Chief Marketing Communications Officer

Contact for Revision: Chief Marketing Commutations Officer

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Medical Appeal

Policy Number: 6.24

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

Date of last revision, if applicable: 1/29/2019

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

Purpose of Policy (what does it do): This policy establishes the process of evaluation and resolution of all student medical appeals.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Michaelyn Greene, Director of Treasury and Student Business Services
Mickey Diez, Registrar
Damon Derrick, General Counsel

Student Medical Appeal

Original Implementation: January 29, 2019
Last Revision: *February 1, 2022*~~None~~

Purpose

This policy establishes the process of evaluation and resolution of all student appeals to drop or withdraw from one or more classes due to medical reasons that prevent the student from completing the semester/term.

General

Students wishing to drop or withdraw from one or more classes due to medical reasons that prevent the student from completing the semester/term may submit a medical appeal. ~~Approved medical appeals may be granted for medical conditions that prevent the student from completing the semester/*term.*~~ Medical appeals are not intended to shield a student from unsatisfactory *academic* progress. Medical appeals will be considered by a committee comprised of the registrar *or his/her designee* and other appropriate university officials.

The following rules apply:

1. Medical ~~withdrawal~~ *appeal* requests must be ~~made~~ *submitted* ~~-~~to the Office of the Registrar within six months of the semester*/term* affected by the medical condition.

2. The medical condition must have occurred to the student.

3. Upon receipt of the completed medical appeal, the committee has 30 days to make a decision.

Specific procedures and the appeal form for making an appeal are located at the *Office of the* ~~r~~*R*egistrar~~'s office~~.

Cross Reference: None

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

Contact for Revision: Registrar/*Director of Treasury and Student Business Services*~~Controller~~

Forms: Request for Medical ~~Withdrawal~~ *A*~~a~~*ppeals* ~~*are,*~~ available *through* ~~in~~ the registrar's office

Board Committee Assignment: Academic and Student Affairs Committee

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Service Fee Allocations

Policy Number: 10.11

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

Date of last revision, if applicable: 1/28/2020

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

Purpose of Policy (what does it do): Outlines the process of student service fee allocations and the membership of the student service fee committee

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

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

☐ Internal Review ☒ Other, please explain: Updated to include new allocation process

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Committee membership updated. Fund Management clarification to avoid negative balance and use of unspent funds. Allocations process explained.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Student Affairs Student Policy Review Committee
Andrew Dies, Assistant Vice President of Student Affairs/Dean of Students
Brandon Frye, Vice President of Student Affairs
Damon Derrick, General Counsel

Student Service Fee Allocations

Original Implementation: Unpublished
Last Revision: ~~January 28, 2020~~*January 31~~28~~, 2022*

Student service fees are distributed to various student organizations and student service operations for activities which are separate and apart from the regularly scheduled academic functions of the institution and directly involve or benefit students.

The distribution of student service fees is based on the allocation process utilized by the Student Service Fee Committee (SSFC). This committee is composed of nine members. *The Assistant Vice President of Student Affairs and Dean of Students (AVP/Dean) serves as the chair and is a non-voting member (unless a vote is needed to break a tie).* The~~se include~~ five student members ~~who are~~*must be* enrolled for not less than six semester credit hours *and be in good academic and conduct standing with the University. The student members*~~ and who~~ are appointed by the Student Government Association. *Three students must be from the Student Government Association (SGA) and two must be from outside the SGA.* Three of these students are appointed to serve a two-year term on the committee and two students are appointed to serve a one-year term on the committee. *A student member who withdraws from the institution or otherwise becomes ineligible per this policy must resign from the committee.* The *University* ~~p~~*P*resident appoints four faculty or staff members *(including the AVP/Dean)* to serve on the committee. Each serves a one-year term. Any vacancies in an appoint*ed*~~ive~~ position on the committee shall be filled for the unexpired portion of the term in the same manner as the original appointment. *Committee members will recuse themselves from any vote or discussion involving an organization or office they are directly a member of or directly advise. The SFA Budget Director, or their designee, and the Division of Student Affairs Budget Analyst will both serve in advisory capacities to the SSFC*~~, are~~ *and will not be included in the nine total committee members*~~, and have no~~ *or have voting rights.*

The SSFC may only conduct meetings at which a quorum (the majority of members of the committee) is present. Meetings must be open to the public. The committee must provide notice of the date, hour, place, and subject of the meeting at least 72 hours before the meeting is convened. This notice must be posted on the internet and in the student newspaper if an issue of the newspaper is published between the time of the internet posting and the time of the meeting.

The committee will receive requests from various student service operations (i.e. Student Health Clinic, Intercollegiate Athletics, Marching Band, Fine Arts Programs, etc.) and university-sponsored student organizations (i.e. Student Government Association, Student Activities Association, etc.). The amount to be distributed by the committee is based on an estimate of student service fee revenue for the following academic year. If there is significant variance between the estimated revenue and the actual revenue, the allocation may be adjusted as necessary.

Student Service Fee Request Process

All parties wishing to request allocations from the Student Service Fee Committee must submit the Student Service Fee Allocations Application, including a detailed budget of how the current allocation (if applicable) has been or will be expended. A detailed budget of how the requested allocations will be expended must also be included.

Each requesting party must then present their request to the Student Service Fee Allocations Committee and the Committee will ask any questions they may have.

Requests are evaluated and recommendations are made for allocations to requesting groups for the coming year. The final recommendations made by the committee will be recorded and made public. These recommendations are then submitted to the ~~p~~*P*resident who may accept or modify the committee's decision. If the ~~p~~*P*resident's recommendations are substantially different from that of the committee, the ~~p~~*P*resident will notify the committee and provide an opportunity for the chair of the committee to comment on the committee's recommendations. Upon approval of the Board of Regents, the funds are made available for the coming fiscal year. *The Dean of Students Office will notify the requesting parties of their Board approved allocations after the start of the new fiscal year.*

Fund managers should ensure their Student Service Fee balance never reaches a negative balance. All unexpended funds at the end of the fiscal year will be reallocated back to the fund balance. Expenditures out of the student service fee fund balance are at the discretion of the Vice President of Student Affairs subject to applicable policies and procedures.

All parties receiving Student Service Fee funding must submit the Student Service Fee Assessment Report at the end of each fiscal year in which they are funded.

Cross Reference: Tex. Educ. Code § 54.503

Responsible for Implementation: Vice President *of*~~for~~ ~~University~~ *Student* Affairs

Contact for Revision: *Assistant Vice President of Student Affairs and* Dean of Students~~ Affairs~~

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Ticket Office Services

Policy Number: 16.29

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

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

Unit(s) Responsible for Policy Implementation: Director of Athletics

Purpose of Policy (what does it do): Authorizes Ticket Office to sell tickets on behalf of organizations

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ryan Ivey, Athletic Director
Damon Derrick, General Counsel

Ticket Office Services

Original Implementation: May 6, 1985
Last Revision: ~~October 29, 2018~~*February 1, 2022*

The services of the SFA Ticket Office (Ticket Office) are primarily for the use of campus organizations and campus departments. Services may be offered to non-university groups if there is a benefit to the university. There may be a fee charged for services provided to non-university groups.

To request use of Ticket Office services, an official representative of the organization, department or group making the request must complete a Consignment Ticket Agreement. The Ticket Office manager will notify this representative if the request is approved and when tickets can be delivered for sale. The request for service must be made at least 24 hours prior to the time sales are requested to begin. Tickets should go on sale no earlier than three (3) weeks prior to an event.

Once tickets are delivered for sale, the number of tickets consigned must be verified and agreed upon by the group representative and the Ticket Office.

For general admission events, tickets must be consecutively numbered. For reserved seat events, tickets must be accompanied by a seating plan (chart). Prices must be printed on the face of the ticket.

The Ticket Office is responsible only for the number and type of tickets it accepts. Deposits will be made into a university account. Final accounting will take place within two (2) working days following the event. Payments for tickets sold for groups without university accounts will be made by university check no earlier than two weeks following the acceptance of the final accounting by an authorized representative of the group. A final Ticket Office statement will be provided to the official representative of the group upon request.

Refunds

The Ticket Office sells tickets on a no refund and no exchange basis unless the event for which the ticket was purchased is cancelled. In the case of a cancellation, refunds processed by the Ticket Office will be only for those tickets originally sold or placed on consignment in other outlets by the Ticket Office. Tickets may not be refunded by consignment outlets.

Cross Reference: None

Responsible for Implementation: ~~Vice President for University Affairs~~*Director of Athletics*

Contact for Revision: ~~Director of Student Services/Director of Student Center~~*Ticket Office Manager*

Forms: Consignment Ticket Agreement

Board Committee Assignment: Academic and Student Affairs

Finance and Audit Committee

Stephen F. Austin University Investment Overview

January 31, 2022

Dave Verghese
Deputy Chief Investment Officer
The Texas A&M University System

The Texas A&M University System

Cash Concentration Pool

Investment Objective

Invest the funds in a manner as to achieve a reasonable balance of growing corpus and meeting the operating needs of the system, while maintaining the System's objective of the safety and preservation of capital.

Performance Periods Ended November 30, 2021

	1-YR	5-YR	10-YR	15-YR	Since Inception
Long Term Cash Concentration Pool	8.4%	9.4%	7.7%	6.0%	7.3%
Long-Term Pool Balanced Index	9.5%	8.4%	7.2%	5.3%	6.6%

The Texas A&M University System

Cash Concentration Pool

Asset Allocation

Asset Class	SFA Target Allocation	11/30/2021 Allocation
Fixed Income	34.78%	34.70%
Domestic Equity	21.74%	23.69%
International Equity	21.74%	20.68%
Absolute Return	21.74%	20.93%

The Texas A&M University System

Cash Concentration Pool

Stephen F. Austin – Operating Funds

January 1, 2021 to December 31, 2021

Net Earnings*	$2,688,508
Book Value as of December 31, 2021	$54,117,153
Unrealized Appreciation	$14,072,399
Market Value as of December 31, 2021	$68,189,552

* Interest, dividends and realized gains, less fees

The Texas A&M University System

Cash Concentration Pool

Stephen F. Austin – Quasi-Endowment

January 1, 2021 to December 31, 2021

Net Earnings*	$336,970
Book Value as of December 31, 2021	$6,706,660
Unrealized Appreciation	$1,837,203
Market Value as of December 31, 2021	$8,543,863

* Interest, dividends and realized gains, less fees

The Texas A&M University System

System Endowment Fund

Investment Objectives

Provide a continuing and dependable cash payout, stable and preferably growing in real terms.

Cause the total value of the fund to appreciate, over time, exclusive of growth derived from donations.

Performance Periods Ended November 30, 2021

	1-YR	5-YR	10-YR	15-YR	Since Inception
System Endowment Fund	17.5%	10.8%	9.3%	6.7%	8.6%
Balanced Index	17.4%	10.4%	8.5%	5.9%	8.1%

The Texas A&M University System

System Endowment Fund

Asset Allocation

Asset Class	Target Allocation	11/30/2021 Allocation
Fixed Income	15.0%	14.7%
Domestic Equity	15.0%	22.1%
International Equity	15.0%	18.6%
Real Assets*	15.0%	10.9%
Absolute Return	15.0%	15.5%
Private Equity	25.0%	18.2%

*Real Assets include timber, real estate, and energy investments.

The Texas A&M University System

System Endowment Fund

Stephen F. Austin Endowment

Book Value as of November 30, 2021	$13,579,035
Market Value as of November 30, 2021	$17,190,584
FY 2021 Payout	$665,173
1Q 2022 Payout	$175,508
FY 2022 Projected Total Payout	$702,033

The Texas A&M University System

System Endowment Fund

- Income is distributed to each endowment account on a quarterly basis in accordance with the spending policy outlined in the System Investment Policy.

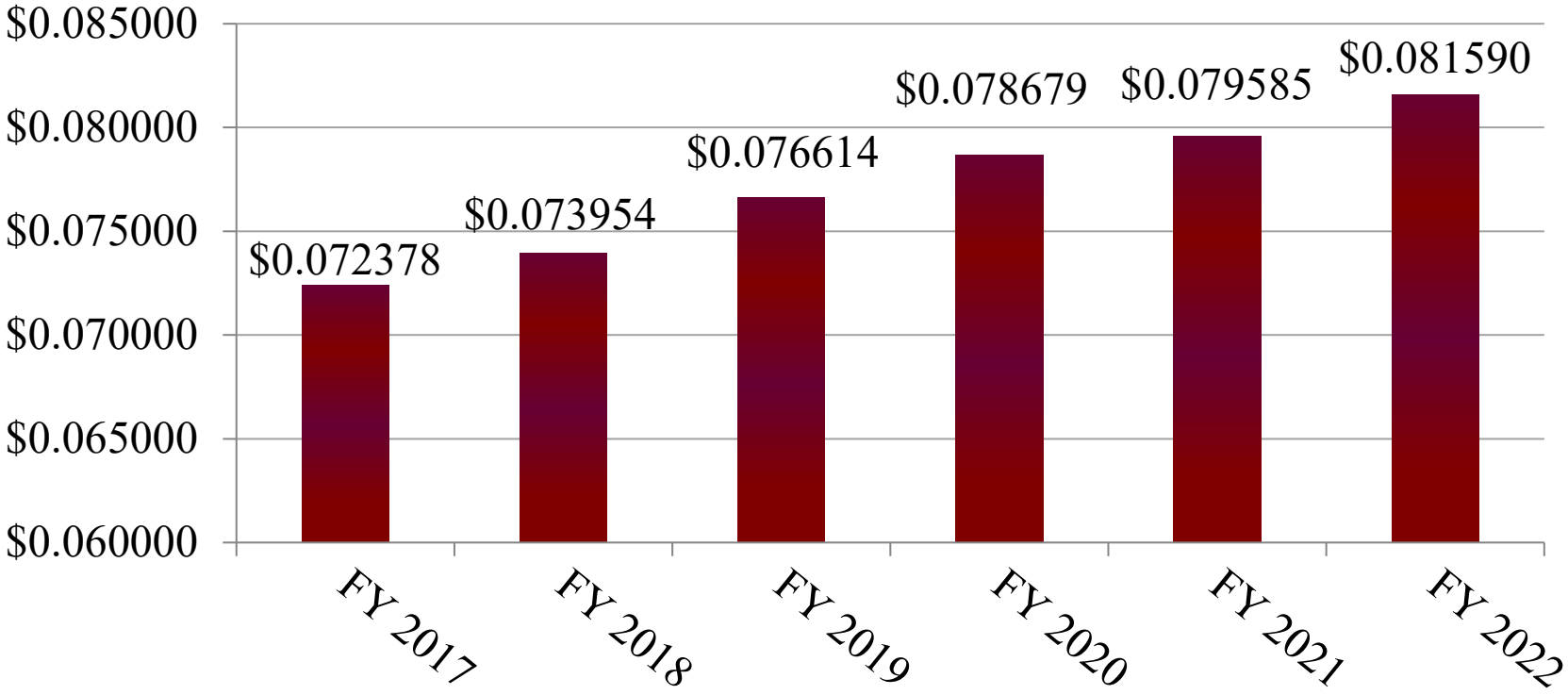
- The quarterly payout is calculated on an annual basis and is the average of the quarterly market value for the 20 fiscal quarters ending the previous February, multiplied by 5.0% and divided by 4. The average for the last 20 quarters as of February 2021 was $6.53 and is the basis for the FY 2021 payout calculation.

- The market value per unit as of **11/30/2021** was **$7.99.**

The Texas A&M University System

System Endowment Fund

Quarterly Endowment Spending Rate



The Texas A&M University System

Investment Pool Comparison

CCP Objectives:
- Grow corpus
- Meet operating needs
- Preserve capital

SEF Objectives:
- Dependable payout
- Increase fund value

Asset Class	SFA CCP Target Allocation	SEF Target Allocation
Fixed Income	34.78%	15.00%
Domestic Equity	21.74%	15.00%
International Equity	21.74%	15.00%
Absolute Return	21.74%	15.00%
Real Assets	-	15.00%
Private Equity	-	25.00%

COLE AUDIOLOGY LAB

My name is Kelly Langston Jobe, Au.D., CCC-A and I have had the pleasure of providing hearing healthcare, instructing, and supervising future undergraduate and graduate students at the Cole Audiology Lab at SFA since 2011. I earned a B.S. from UT Austin in 1995, a M.S. from UT Dallas Callier Center in 1998 and a Doctor of Audiology degree from University of Florida in 2004.

Ed and Gwen Cole generously established the Cole Audiology Lab at SFASU providing funding to purchase the necessary equipment and the salary of an audiologist until the clinic became self-sufficient. The Cole Audiology Lab is a full-service audiology facility on the SFA campus dedicated to serving the hearing health care needs of all patient populations. The lab is open to the public as well as SFA students and employees. Mr. and Mrs. Cole understood the difficulties individuals with hearing impairment face and more profoundly understood the financial limitations that many face when seeking treatment. They wanted the Cole Audiology Lab to provide both excellent and affordable hearing healthcare. As longtime supporters of higher education, they also understood the value of the hands-on training experience the clinic would provide our students in the Speech Pathology Master's program and Pre-Doctor of Audiology tract. Our mission is to achieve clinical excellence in hearing healthcare in conjunction with ethical service, using state-of-the art equipment, by knowledgeable and caring audiologists.

Audiologists perform diagnostic hearing evaluations for patients of all ages. They also identify and treat hearing disorders as well as make appropriate referrals for all types of hearing loss. The entry level degree for a licensed, certified audiologist is a clinical Doctor of Audiology. When I began working at SFA in August 2011, the Cole Audiology Lab was operating in a deficit. Currently our balance is approximately $472,000. The budget includes operating costs as well as my salary and benefits. We serve all patient populations, provide hands on experience for students and provide community outreach. Our speech-pathology graduate students conduct, under my direct supervision, school hearing screenings for Nacogdoches area public and private schools for nearly 4000 students each fall. Additionally, the students obtain diagnostic experience, while under my supervision, in the clinic in which we provide services to over 300 new and existing patients yearly. In an effort to grow the practice, I met with local physicians to share how the Cole Audiology Lab could partner with them to best serve our community's hearing healthcare needs. This effort led to patient growth and a legitimate partnership with the local medical community. Although we do not formally advertise the clinic, we receive referrals from satisfied patients, referring physicians and the

Texas Workforce Commission, thus allowing us to succeed in providing a broad scope of affordable hearing healthcare for those in need.

SPEECH-LANGUAGE PATHOLOGY

The Speech-Language Pathology graduate provides a career pathway for one of the fastest growing occupations nationwide. According to the Bureau of Labor Statistics (2021) employment for speech-language pathologists is projected have a 29% increase by 2030. The program at SFASU was first accredited by the Council for Academic Accreditation for Speech-Language Pathology in 1992. graduate program currently has 48 residential and 22 distance education students. The program faculty consists of four full-time faculty, two part-time clinical instructors, three adjunct instructors, and one adjunct clinical instructor. The program enrolled a distance cohort in the summer of 2020 for the first time and has two cohorts each with eleven students. The program is also home to the Stanley Center for Speech and Language Disorders, which is a community-based clinic offering services to the SFASU and Nacogdoches communities. This clinic is unique in that it serves as a training facility for residential graduate students. These students work directly with clients and their families in the evaluation and treatment of communication disorders under the direct supervision of a clinical supervisor.

Many students in the graduate program begin their education as undergraduate students in the Communication Sciences and Disorders (CSDS) program. The undergraduate program enrollment for the fall 2021 semester included 175 full-time students and 10 part-time students. The program is taught by the four full-time faculty and two part-time instructors of the graduate program as well as three adjunct instructors. Senior level undergraduate students have experiential learning opportunities at the Stanley Center for Speech and Language Disorders where they assist in therapy sessions with graduate students.

SPORTS BUSINESS

The SFA Sports Business program began in 2015 as the first Bachelor of Business Administration degree of its kind at a public university in Texas. The program is unique in that it is a sports degree offered within an AACSB-accredited college of business, where students receive a foundational business background while completing sport business-specific coursework and internships. The goal of the program is to train students to work in all areas of the growing sports industry: professional or college athletics, management, sales, data analytics, marketing, technology, operations, or facilities management.

The program leans heavily on experiential learning . Students take classes in Sports Business that provide them opportunities to learn from faculty with industry experience while working with sports organizations to solve real-work problems. Students participate in site visits and career fairs at professional venues in Houston, Dallas and Austin, and the Sports Business Society student group frequently invites sports industry professionals to speak at their bi-weekly meetings.

From its inception the program grew rapidly in size, and now has more than 200 students majoring and 50 students minoring in the degree. The program offers students flexibility to pursue their degree in a traditional classroom environment or 100% completely online. It is interdisciplinary with classes in marketing, management, business law, and economics.

Graduates of the Sports Business program have gone on to work with some of the largest professional and collegiate sports organizations throughout Texas and the country including the Texas Rangers, Lone Star Sports & Entertainment, Dallas Stars, NASCAR, Northern Texas PGA and Peloton. Program graduates like Chris Bentley and Isaiah Yates have gone on to take leadership roles in sports have also given back to program by recruiting students for internships and full-time opportunities. Chris Bentley, a 2018 graduate of the Sports Business program, spent three seasons with the NFL's Houston Texans and now works as the General Manager of Ticketing for SFA through the school's partnership with Learfield/IMG. Isaiah Yates, who also graduated in 2018, is in his third year with the Texas Rangers as an Account Executive. Both former students help SFA recruit SFA alumni into the Texans, Rangers, and Lumberjacks organizations, and actively stay involved in the development of current students.

The SFA Sports Business program is now looking to continue its growth by exploring opportunities in exciting new fields such as esport.

Finance and Audit Committee

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

Explanation:

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

The audit services report as presented includes the following:

Benefits Proportional by Method of Finance Audit
Construction Management Close-Out Audit
Tuition Set Asides Audit
NCAA Financial Statement Agreed Upon Procedures Review
Charter School Annual Financial Report Audit
Update on Audit Plan

Recommendation:

Acknowledge receipt of the audit services report pending consideration by the Finance and Audit Committee.

ACKNOWLEDGE RECEIPT OF CONTRACT MONITORING REPORT

Explanation:

The 84th Legislature passed Senate Bill 20 (SB20) that added new requirements for state agencies and institutions of higher education related to procurement and contracting. These requirements were written into the Texas Government Code and/or Texas Education Code and were effective September 1, 2015. SB 20 states "as soon as is practicable after the effective date of this Act, the comptroller of public accounts, and each affected state agency as necessary, shall adopt the rules, processes, and procedures and take the actions necessary to implement the changes in law made by this Act". To comply with contract reporting, a procedure has been established to identify each contract that requires enhanced contract or performance monitoring. This report has been developed to include information on identified contracts for reporting to the Board of Regents to meet these requirements. The contract monitoring report as presented includes the following contracts:

Texas General Land Office acting through Cavallo Energy Texas, LLC
RFD & Associates, Inc.
CORE Construction Services of Texas, Inc.
Kirksey Architects, Inc.
Kingham Dalton Wilson, Ltd.
Populous, Inc.
PowerSchool Group LLC - PeopleAdmin

Recommendation:

Approve and acknowledge receipt of the contract monitoring report

Stephen F. Austin State University
Board of Regents – Finance Committee
Texas Government Code Contract Reporting
January 31, 2022

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Texas Government Code Contract Reporting

The 84th Legislature passed Senate Bill 20 (SB20) that added new requirements for state agencies and institutions of higher education related to procurement and contracting. These requirements were written into the Texas Government Code and/or Texas Education Code and were effective September 1, 2015. SB 20 states “as soon as is practicable after the effective date of this Act, the comptroller of public accounts, and each affected state agency as necessary, shall adopt the rules, processes, and procedures and take the actions necessary to implement the changes in law made by this Act”. To comply with contract reporting, a procedure has been established to identify each contract that requires enhanced contract or performance monitoring. This report has been developed to include information on identified contracts for reporting to the Board of Regents to meet these requirements.

Vendor contract: *Texas General Land Office acting through Cavallo Energy Texas LLC*

Description of Contract: Electricity in accordance with participation in an electricity contract with members of the Texas A&M system consortium representing the best value to the University by achieving a competitive electricity rate. Subsequent amendment to extend to 8/31/22.

Vendor Awarded Contract: Texas General Land Office acting through Cavallo Energy Texas LLC

Procurement Method: Other State Agency Contracts (Aggregated solicitation and contract process by Texas A&M system)

Department Responsible for Contract: Physical Plant

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $2,810,800.00

Total Estimated Aggregate Amount: $14,395,705.01

Contract Period: 9/1/2017-8/31/2022

Board Approved: Dec 2012 (Electricity contract authorization)

Director Certification: Completed

President Attestation: Completed

Statutory Reporting Requirement: Government Code 2261.253, 2261.254, 2261.255, GAA Article IX, Section 7.12

Vendor contract: *RFD & Associates, Inc.*

Description of Contract: ITS exadata hardware environment and Oracle software support in accordance with signed agreement on 11/03/2021.

Vendor Awarded Contract: RFD & Associates, Inc.

Procurement Method: DIR-TSO-4158

Department Responsible for Contract: Information Technology Services

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $494,712.12

Total Estimated Aggregate Amount: $1,798,848.40

Contract Period: 7/01/2021-6/30/2025

Board Approved: Exempt per policy 1.4-Hosted software services and applicable license and maintenance for general business operations such as student bill payment, cashiering and student email.

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254

Vendor contract: *CORE Construction Services of TX, Inc.*

Description of Contract: Power Plant 1 Upgrade / Music and Boynton Utility System upgrade. Phase 1 for purchase of equipment and Phase 2 for construction in the amount of $3,755,910.70 with a delivery date of August 31, 2022. Subsequent phase 3 work for Power Plant 1 Upgrade/Music and Boynton Utility System upgrade/Fine Arts Project in the amount of $2,474,620 with a delivery date of 1/31/22. Phase 3 subsequent amendment processed to extend delivery date to 4/22/22.

Vendor Awarded Contract: CORE Construction Services of TX, Inc.

Procurement Method: Cooperative-Sourcewell EZIQC Contract / E & I

Department Responsible for Contract: Physical Plant

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $0.00

Total Estimated Aggregate Amount: $6,230,530.70

Contract Period: 10/15/2020- 8/31/2022

Board Approved: October 2018, July 2019, October 2019, July 2020, July 2021

Director Certification: Completed

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254, 2261.255

Vendor contract: *Kirksey Architects, Inc.*

Description of Contract: Architectural services related to the design for the fine arts expansion, welcome center and student services one stop shop, and residence hall and dining hall in accordance with RFQ#AE-BLDG PROJECTS-2018 opened 9/06/2018 and Architect Agreement and Addenda. Addendum 1-Fine Arts in the amount of $2,518,500 for basic services, $65,800 for additional services and reimbursable expenses not to exceed $77,000. Addendum 1- Welcome Center and Student Support Services Once Stop Shop in the amount of $780,000 for basic services, $164,900 for additional services, and reimbursable expenses not to exceed $24,600. Addendum 1-Construct and Renovate Student Residential and Dining Facilities in the amount of $2,275,200 for basic services, $99,250 for additional services, and reimbursable expenses not to exceed $68,000. Subsequent Amendment No. 1 to Addendum 1-Residence Hall in the amount of $128,000 for redesign services. Subsequent Amendment No. 1-Welcome Center and Student Support Services One Stop Shop termination of project ($884,459). Subsequent Amendment No. 1 to Addendum 1-Fine Arts in the amount of $624,000 for redesign services. Subsequent Amendment No. 2-Fine Arts in the amount of $7,000 for additional services related to redesign. Subsequent Amendment No. 3-Fine Arts in the amount of $159,605 for additional services related to hydronic piping, increase in architect and engineering fee for increased construction cost, reallocation of reimbursable expenses to A-E fee, and required updates to contract documents for updated finishes and extended delivery date. Dining Hall project closed in the amount of ($1,012,000). Residence Hall project closed in the amount of ($372,050).

Vendor Awarded Contract: Kirksey Architects, Inc.

Procurement Method: Request for Qualifications

Department Responsible for Contract: Physical Plant

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: ($1,384,050.00)

Total Estimated Aggregate Amount: $4,723,346.00

Contract Period: 3/5/2019 - 10/31/2023

Board Approved: October 2018, October 2019, November 2021

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254

Vendor contract: *Kingham Dalton Wilson, Ltd.*

Description of Contract: Construction of a fine arts expansion, welcome center and student support services one stop shop, basketball practice facility, and the construction of a new student residence hall, a new dining hall, and renovations to residence hall and dining facilities in accordance with RFP#CMR-BLDG PROJECTS-2019 opened 9/20/18 and construction manager agreement dated 2/07/19 with estimated substantial completion date for all projects of 2/23/21 which may change upon final schedules and final project GMP's. Subsequent amendment for preconstruction services in the amount of $209,744. **Subsequent amendments**: *Basketball Practice Facility* Amendment No.1 effective 7/22/19 for phase 1 of the GMP in the amount of $1,369,388, Amendment No.2 effective 10/29/2019 for phase 2 of the GMP in the amount of $23,818,986. *Welcome Center and Student Support Services One Stop Shop*-Amendment No. 1 to remove project in its entirety effective 2/27/2020. *Preconstruction services* Amendment No. 2 in the amount of $113,928*. Fine Arts Expansion Initiative* Amendment No. 3 for phase 1 of the GMP in the amount of $725,912. *Basketball Practice Facility* Amendment No. 4 for additional services added to Phase 2 GMP in the amount of $274,320. *Fine Arts Expansion Initiative* Amendment No. 5 for additional services added to Phase 1 GMP in the amount of $71,336.63. *Residence Hall* project closed as of 08/31/20 in the amount of ($12,464.12). *Fine Arts Expansion Initiative* Amendment No. 6 for Phase II GMP in the amount of $41,159,676.37. *Fine Arts Expansion Initiative* Amendment No. 7 for transferring an amount from Phase 1 GMP to Phase II GMP in the amount of $17,409.98. *Basketball Practice Facility* Amendment No. 8 to extend final completion date. Basketball Practice Facility-Amendment No. 9 to extend final completion date to 1/22/22. Dining Hall project closed in the amount of ($59,956.90).

Vendor Awarded Contract: Kingham Dalton Wilson, Ltd.

Procurement Method: Request for Proposal

Department Responsible for Contract: Physical Plant

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: ($59,956.90)

Total Estimated Aggregate Amount: $67,670,779.98

Contract Period: 2/07/2019-8/31/2023

Board Approved: October 2018, May 2019, October 2019, January 2020, February 2021, July 2021, November 2021

Director Certification: Completed
President Attestation: Completed
Statutory Reporting Requirement: Government Code 2261.253, 2261.254, 2261.255, GAA Article IX, Section 7.12

Vendor contract: *Populous, Inc.*

Description of Contract: Architectural services related to the construction of a new basketball practice facility in accordance with RFQ#AE-ATHLETIC FACILITIES-2018 opened 09/06/2018 and Architect Agreement and Addendum 1 in the amount of $1,443,050 plus reimbursable expenses not to exceed $133,800. Subsequent Amendment No. 1 to revise phase of work breakdown with an effective date of 12/21/2018. Subsequent Amendment No. 2 effective 9/03/19 for additional services for Branded Interior Environment in the amount of $108,620 plus reimbursable expenses not to exceed $3,800 and updated final project completion date to 11/01/2021. Subsequent Amendment No. 3 in the amount of $422,501 which includes $374,561 for redesign services plus $16,000 for reimbursables and additional services of $31,940 for adding loge boxes in Coliseum. Subsequent Amendment No. 4 in the amount of $4,500 to update AV drawings for streaming service.

Vendor Awarded Contract: Populous, Inc.

Procurement Method: Request for Qualifications

Department Responsible for Contract: Physical Plant

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $4,500.00

Total Estimated Aggregate Amount: $2,116,271.00

Contract Period: 12/05/2018 – 11/01/2021

Board Approved: October 2018, January 2020, February 2021

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254

Vendor contract: *PowerSchool Group, LLC - PeopleAdmin*

Description of Contract: Software licensed products including talent management, training software, and associated implementation and maintenance costs in accordance with signed agreement on 5/07/2021.

Vendor Awarded Contract: PowerSchool Group LLC – People Admin

Procurement Method: Request for Qualifications

Department Responsible for Contract: Human Resources

Serious issue or risk with contract: **Contractual issue regarding product feature delivery- Referred to legal**

Total Current Fiscal Year Amount: $0.00

Total Estimated Aggregate Amount: $656,501.26

Contract Period: 05/15/2021 – 11/06/2025

Board Approved: May 2021

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Not Applicable

Summary of Contracts

Stephen F. Austin State University

Summary of Contracts

Summary of Goods and Services Contracts Greater than $1Million(including Construction)
Finance Committee -January 31, 2022

Description of contract	Vendor Awarded Contract	Procurement method	Department responsible for Contract	Serious issue or risk with contract	Total Current Fiscal Year Amount	Total Estimated Aggregate Amount	Contract period	Board Approved
Electricity in accordance with participation in an electricity contract with members of the Texas A&M system consortium representing the best value to the University by achieving a competitive electricity rate. Subsequent amendment to extend to 8/31/22.	Texas General Land Office acting through Cavallo Energy Texas LLC	Other State Agency Contract (Aggregated solicitation and contract process by Texas A & M system)	Physical Plant	None	$ 2,810,800.00	$ 14,395,705.01	9/1/2017-8/31/2022	Dec 2012 (Electricity contract authorization)
ITS exadata hardware environment and Oracle licenses in accordance with signed agreement on 11/03/21.	RFD & Associates, Inc	DIR-TSO-4158	Information Technology Services	None	$ 494,712.12	$ 1,798,848.40	7/01/2021-6/30/2025	November 2021
Power Plant 1 Upgrade/Music and Boynton Utility System upgrade: Phase 1 for purchase of equipment and Phase 2 for construction in the amount of $3,755,910.70 with a delivery date of August 31, 2022. Subsequent phase 3 work for Power Plant 1 Upgrade/Music and Boynton Utility System upgrade/Fine Arts Project in the amount of $2,474,620 with a delivery date of 1/31/22. Phase 3 subsequent amendment processed to extend delivery date to 4/22/22.	CORE Construction Services of TX, Inc.	Cooperative Contract-E & I and Omnia	Physical Plant	None	$ -	$ 6,230,530.70	06/23/2021 - 08/31/2022	October 2018, July 2019, October 2019, July 2020, July 2021
Architectural services related to the design for the fine arts expansion, welcome center and student services one stop shop, and residence hall and dining hall in accordance with RFQ#AE-BLDG PROJECTS-2018 opened 9/06/2018 and Architect Agreement and Addenda. Addendum 1-Fine Arts in the amount of $2,518,500 for basic services, $65,800 for additional services and reimbursable expenses not to exceed $77,000. Addendum 1- Welcome Center and Student Support Services One Stop Shop in the amount of $780,000 for basic services, $164,900 for additional services, and reimbursable expenses not to exceed $24,600. Addendum 1-Construct and Renovate Student Residential and Dining Facilities in the amount of $2,275,200 for basic services, $99,250 for additional services, and reimbursable expenses not to exceed $68,000. Subsequent Amendment No. 1 to Addendum 1-Residence Hall in the amount of $128,000 for redesign services. Subsequent Amendment No. 1-Welcome Center and Student Support Services One Stop Shop termination of project ($884,459). Subsequent Amendment No. 1 to Addendum 1-Fine Arts in the amount of $624,000 for redesign services. Subsequent Amendment No. 2-Fine Arts in the amount of $7,000 for additional services related to redesign. Subsequent Amendment No. 3-Fine Arts in the amount of $159,605 for additional services related to hydronic piping, increase in architect and engineering fee for increased construction cost, reallocation of reimbursable expenses to A-E fee, and required updates to contract documents for updated finishes and extended delivery date. Dining Hall project closed in the amount of ($1,012,000). Residence Hall project closed in the amount of ($372,050).	Kirksey Architects, Inc.	Request for Qualifications	Physical Plant	None	$ (1,384,050.00)	$ 4,723,346.00	3/05/2019 - 10/31/2023	October 2018, October 2019, November 2021

Stephen F. Austin State University

Summary of Contracts

Summary of Goods and Services Contracts Greater than $1Million(including Construction)

Finance Committee -January 31, 2022

Description of contract	Vendor Awarded Contract	Procurement method	Department responsible for Contract	Serious issue or risk with contract	Total Current Fiscal Year Amount	Total Estimated Aggregate Amount	Contract period	Board Approved
Construction of a fine arts expansion, welcome center and student support services one stop shop, basketball practice facility, and the construction of a new student residence hall, a new dining hall, and renovations to residence hall and dining facilities in accordance with RFP#CMR-BLDG PROJECTS-2019 opened 9/20/18 and construction manager agreement dated 2/07/19 with estimated substantial completion date for all projects of 2/17/23 which may change upon final schedules and final project GMP's. Subsequent amendment for preconstruction services in the amount of $209,744. Subsequent amendments: **Basketball Practice Facility**: Amendment No. 1 effective 7/22/19 for phase 1 of the GMP in the amount of $1,369,388, Amendment No. 2 effective 10/29/2019 for phase 2 of the GMP in the amount of $23,818,986. **Welcome Center and Student Support Services One Stop Shop**-Amendment No. 1 to remove project in its entirety effective 2/27/2020. Preconstruction services Amendment No. 2 in the amount of $113,928. **Fine Arts Expansion Initiative**-Amendment No. 3 for phase 1 of the GMP in the amount of $725,912. **Basketball Practice Fac+A9ility**-Amendment No. 4 for additional services added to Phase 2 GMP in the amount of $274,320. **Fine Arts Expansion Initiative**-Amendment No. 5 for additional services added to Phase 1 GMP in the amount of $71,336.63. **Residence Hall** project closed as of 08/31/20 in the amount of ($12,464.12). **Fine Arts Expansion Initiative**-Amendment No. 6 for Phase II of the GMP in the amount of $41,159,676.37. Amendment No. 7 for transferring an amount from Phase I GMP to Phase II GMP in the amount of $17,409.98. **Basketball Practice Facility**-Amendment No. 8 to extend final completion date. **Basketball Practice Facility**-Amendment No. 9 to extend final completion date to 1/22/22. **Dining Hall** project closed in the amount of ($59,956.90).	Kingham Dalton Wilson, Ltd.	Request for Proposal	Physical Plant	None	$ (59,956.90)	$ 67,670,779.98	2/07/19 -8/31/2023	October 2018, May 2019, October 2019, January 2020, February 2021, July 2021, November 2021
Architectural services related to the construction of a new basketball practice facility in accordance with RFQ#AE-ATHLETIC FACILITIES-2018 opened 9/06/2018 and Architect Agreement and Addendum 1 in the amount of $1,443,050 plus reimbursable expenses not to exceed $133,800. Subsequent Amendment No. 1 to revise phase of work fee breakdown effective 12/21/2018. Subsequent Amendment No. 2 effective 9/03/19 for additional services for Branded Interior Environment in the amount of $108,620 plus reimbursable expenses not to exceed $3,800 and updated final project completion date to 11/01/2021. Subsequent Amendment No. 3 in the amount of $422,501 which includes $374,561 for redesign services plus $16,000 for reimbursables and additional services of $31,940 for adding loge boxes in Coliseum. Subsequent Amendment No. 4 in the amount of $4,500 to update AV drawings for streaming service.	Populous, Inc.	Request for Qualifications	Physical Plant	None	$ 4,500.00	$ 2,116,271.00	12/05/2018-11/01/2021	October 2018, January 2020, February 2021
Additional Contract to Report less than $1,000,000:								
Software licensed products including talent management, training software, and associated implementation and maintenance costs in accordance with signed agreement on 5/07/2021.	PowerSchool Group, LLC - PeopleAdmin	Exempt Policy 17.1 - Direct Publications	Human Resources	**Contractual issue regarding product feature delivery-Referred to legal**	$ -	$ 656,501.26	5/15/2021 - 11/06/2025	May 2021

GRANT AWARDS

Explanation:

In fiscal year 2022, the multi-year grant award total is currently $81,068,198. Of this total, grant awards allocable to fiscal year 2022 are currently $27,923,732, an increase of $986,667 since the last report.

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

Recommendation:

The administration recommends approval and ratification of the additional fiscal year 2022 grant awards that total $986,667 as presented.

Report to the Board of Regents – January 2022
Grants[1] awarded between and October 1, 2021 and December 31, 2021

Fiscal Year 2022 – *as of December 31, 2021*

Amounts allocable to FY22 (detailed in this report)		
Federal funds (direct and pass-through)	$	645,893
State Funds (direct and pass-through)	$	316,285
Private and Local Government	$	24,489
TOTAL	**$**	**986,667**
New awards, FY22 (detailed in this report, all project years)	**$**	**2,899,524**
Cumulative amount allocable to FY22	**$**	**27,923,732**
Cumulative award total FY22, all project years	**$**	**81,068,198**

***New, Additional, or Previously Unreported Awards for* FY22**

Federal Funds (direct and pass-throughs)

Title **** Center for Applied Research and Rural Innovation – Renovation Grant (CARRI)***
Sponsor: Economic Development Administration, US Department of Commerce,
Award Term: August 5, 2021 to August 4, 2026
PI/PD: Dr. Steve Cooper, Social Work – lead grant writer
Dr. Lorenzo Smith, Academic Affairs – university oversight
Jessica DeWitt, Physical Plant – project management
Total Award: $2,500,000 **Amount Allocable to FY22**: $500,000
This construction award will renovate three buildings at the SFA Science Research Center in preparation for housing the new CARRI offices and training facility.

Title **** GEER – Report Modernization Grant***
Sponsor: Texas Higher Education Coordinating Board
(prime sponsor - US Department of Education)
Award Term: December 8, 2021 to June 30, 2022
PI/PD: Karyn Hall, Institutional Research
Total Award: $49,500 **Amount Allocable to FY22**: $49,500
Funds are dedicated to upgrading data and reporting systems due to upcoming changes to Coordinating Board Management (CBM) reporting.

**New awards or additional funds added to a current award*
[1]For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

Report to the Board of Regents – January 2022
Grants[1] awarded between and October 1, 2021 and December 31, 2021

Title **** Small NIPF Landowner Management Survey using Landsat Imagery***
Sponsor: Midwestern State University
(prime sponsor - US Department of the Interior)
Award Term: November 1, 2021 to August 12, 2022
PI/PD: Dr. Daniel Unger, Forestry
Total Award: $1,250 **Amount Allocable to FY22**: $1,250
One student scholarship is provided for student research to determine non-industrial private forest properties that contain potentially manageable forestlands under 50 acres.

Previously Described Awards:
Monitoring Avian Community Response to Forestry Wildlife Treatments along a Successional Chronosequence in the LMAV
Dr. Kathryn 'Rebecca' Kidd, Forestry
Total Award: $73,377 **Amount Allocable to F FY22**: $32,108

Distribution, Occupancy, and Mercury Bioaccumulation of Alligator Snapping Turtles (Macrochelys Temminckii) in Texas
Dr. Christopher Schalk, Forestry
Award Total: $150,878 **Amount allocable to FY22:** $21,114

Ground Truthing the Species Distribution Model of Bachman's Sparrow
Dr. Christopher Schalk, Forestry
Award Total: $148,741 **Amount allocable to FY22:** $20,247

Collaborative Research: UTMOST 3.0 Undergraduate Teaching and Learning in Mathematics with Open Software and Textbooks (UTMOST Collaborative Phase III)
Dr. Thomas Judson, Mathematics & Statistics
Award Total: $95,745 **Amount allocable to FY22:** $13,674

2019-20 MLK Day of Service
Veronica Beavers, Multicultural Affairs
Award Total: $24,000 **Amount allocable to FY22:** $8,000

***Subtotal Federal Amounts Allocable to* FY22 *(this report)* = $ 645,893**
***Subtotal New Federal Awards* (*total award*) = $ 2,558,750**

**New awards or additional funds added to a current award*
[1]For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

Report to the Board of Regents – January 2022
Grants[1] awarded between and October 1, 2021 and December 31, 2021

State Funds (direct and pass-through)

Previously Described Awards:

SFA Jacks Teach
Dr. Jane Long, Science and Mathematics
Award Total: $920,000 **Amount allocable to FY22:** $280,000

****JAMP Special Projects: JAMP Camp 2022***
Dr. Kevin Langford, Biology
Award Total: $20,000 **Amount allocable to FY22:** $20,000

SFA Charter School Instructional Materials Allotment, FY13-FY22
Lysa Hagan, Charter School
Award Total: $238,931 **Amount allocable to FY22:** $16,285

***Subtotal State Amounts Allocable to* FY22 *(this report)* = $316,285**
***Subtotal New State Awards (total award)* = $316,285**

Private Entity and Local Government Awards

Title **** SFA Strings Project***
Sponsor: National Strings Project Consortium
Award Term: September 1, 2021 to August 31, 2022
PI/PD: Alba Madrid, Music Preparatory Division
Total Award: $10,000 **Amount Allocable to FY22**: $10,000
Grant funds will help build building capacity for well-qualified teachers in the SFA Strings Program by funding college student teachers and master teachers.

Title **** Cognition in Dolphins: The Effects of Anthropogenic Noise on Attention, Learning, and Memory***
Sponsor: Dolphin Quest
Award Term: January 1, 2022 to December 31, 2022
PI/PD: Dr. Jason Bruck, Biology
Total Award: $3,975 **Amount Allocable to FY22**: $3,975
This project continues Dr. Bruck's collaboration with his previous university, providing for an Oklahoma State University student and Dr. Bruck to research dolphin training.

**New awards or additional funds added to a current award*
[1]For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

Report to the Board of Regents – January 2022
Grants[1] awarded between and October 1, 2021 and December 31, 2021

Title **** The Use of Drones with Dolphins***
Sponsor: Dolphin Quest
Award Term: January 1, 2022 to December 31, 2022
PI/PD: Dr. Jason Bruck, Biology
Total Award: $3,009 **Amount Allocable to FY22**: $3,009
This research project will study dolphin responses to drones. Funds will allow for Dr. Bruck, an SFA graduate student, and an SFA undergraduate student to travel to Dolphin Quest Bermuda to conduct the research.

Title **** Kin and Species Recognition in Dolphins***
Sponsor: Dolphin Quest
Award Term: January 1, 2022 to December 31, 2022
PI/PD: Dr. Jason Bruck, Biology
Total Award: $2,905 **Amount Allocable to FY22**: $2,905
Another continued collaboration with Oklahoma State University, this research project will focus on how dolphins decipher related kinships since the dolphins do not have a sense of smell and visibility is reduced underwater.

Previously Described Awards:

****Poultry Science Education Student Recruitment FY22***
Dr. Joey Bray, Agriculture
Award Total: $4,600 **Amount allocable to FY22:** $4,600

***Subtotal Private and Local Amounts Allocable to* FY22 *(this report)* = $24,489**
***Subtotal New Private and Local Awards (total award)* = $24,489**

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

**New awards or additional funds added to a current award*
[1]For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

RESOLUTION TO ACKNOWLEDGE REVIEW OF INVESTMENT POLICY AND STRATEGY

Explanation:

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

Recommendation:

The administration recommends approval of the Resolution to Acknowledge Review of Investment Policy and Strategy.

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

RESOLUTION TO ACKNOWLEDGE
REVIEW OF INVESTMENT POLICY AND STRATEGY

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

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

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the investment policy and strategy as reviewed on February 1, 2022, and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the February 1, 2022 meeting of the board.

Attest:

_____
Board of Regents, Chair

_____
Board of Regents, Secretary

_____
Date

RESOLUTION TO APPROVE QUALIFIED FINANCIAL INSTITUTIONS AND INVESTMENT BROKERS

Explanation:

Chapter 2256 of the Texas Government Code requires the university to adopt a resolution by the governing body of the institution that approves qualified investment brokers. The financial institutions and brokers/investment managers are listed in the following resolution.

Recommendation:

The administration recommends approval of the financial institutions, investment managers and brokers presented.

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

RESOLUTION APPROVING
FINANCIAL INSTITUTIONS AND BROKERS FOR INVESTMENT TRANSACTIONS

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

WHEREAS, the following firms are approved investment brokers:

Texas A&M University State System
Bank of America
Hilltop Securities

WHEREAS, the following firms are approved financial institutions:

Citizens 1st Bank
Austin Bank
BancorpSouth Bank
Bank of America
Commercial Bank of Texas NA
Southside Bank
Regions Bank
UBank (formerly Huntington State Bank)
Wells Fargo Bank
US Bank
Texas Bank
TexPool
TexSTAR
Texas CLASS
Texas Range
JPMorgan Chase & Co
Wilmington Trust, N.A.
UBS Financial Services Inc.
FTN Financial Capital Markets
Stephens Inc.
Citigroup Global Markets, Inc.
LOGIC
Water Walker Investment
Prosperity 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 February 1, 2022 meeting of the board.

_____	_____	_____	_____
Chair, Board of Regents	Date	Secretary, Board of Regents	Date

Fiscal Year 2023 ROOM AND BOARD RATES

Explanation:

Projected on-campus student housing and food service operating costs support the need for revised room and board rates for fiscal year 2023 (FY23).

Pursuant to the relevant provisions of our current food service contract, the administration and Chartwells, our food service provider, annually negotiate necessary rate increases for the upcoming fiscal year.

A fair market research assessment that focused on trends, the Consumer Price Index (CPI) [Food Away from Home South Region], the Employment Cost Index (ECI), and benchmark comparisons to similar institutions was completed to determine if board rate increases were warranted.

During the past year CPI (food away from home) has increased 4.9% and the ECI (wages and salary accommodation and food service) has increased 8.1%. Thus, a decision was made to increase board rates.

The proposed board rates for FY23, reflect a 5.0% increase, excluding dining dollars.

The administration reviewed the FY23 housing budget proforma, current debt coverage needs, the CPI, and benchmark comparisons to similar institutions. In order to cover debt coverage demands, CPI increases, and best meet budget obligations, a room rate increase is being recommended.

The proposed on-campus room rates for FY2023, reflect a 4.0% increase.

If approved, these revised rates will become effective for the fall semester of 2022.

Recommendation:

The administration recommends approval of a 5.0% increase for board rates and a 4.0% increase for room rates for Fiscal Year 2023, as presented.

Stephen F. Austin State University
Room and Board Rates for 2022-2023 (FY23)

Residence Hall Rates	FY22 Fall/Spring Rates	FY23 Fall/Spring Rates	% Increase
Wisely (Hall 5)	$2,437	$2,534	4%
Steen (Hall 17)	$2,765	$2,876	4%
Hall 20	$3,119	$3,244	4%
Griffith (15) and Kerr (18)	$2,166	$2,253	4%
Hall 14 and 16	$2,248	$2,338	4%
Lumberjack Landing	$3,657	$3,803	4%
Lumberjack Lodge 4 br	$4,184	$4,351	4%
Lumberjack Lodge 2 br	$4,443	$4,621	4%
Lumberjack Village (Building 2) quads	$3,256	$3,386	4%
Lumberjack Village (Building 1) 2br	$4,443	$4,621	4%
Lumberjack Village (Buildings 1 & 2) 1 b	$5,472	$5,691	4%
Lumberjack Village (Building 3) 2br	$4,982	$5,181	4%
Lumberjack Village (Building 3) 1 br	$5,938	$6,176	4%

Meal plans (rates include sales tax)

	All Access Premium w/$275	7/14 Premium w/$350	Basic 7/14 w/$125	All Access w/$50	7/12 w/$200
Campus Resident	$2,148	$2,091	$1,891	$1,948	$1,734
Summer Resident	7/14 w/$75 $692	7/20 w/$50 $869			

Combined Room and Board

Fall and Spring Semester

Residence Hall	All Access Premium	7/14 Premium	7/14 Basic	All Access	7/12
5 Wisely Hall	$4,682	$4,625	$4,425	$4,482	$4,268
14 Hall 14	$4,486	$4,429	$4,229	$4,286	$4,072
15 Griffith Hall	$4,401	$4,344	$4,144	$4,201	$3,987
16 Hall 16	$4,486	$4,429	$4,229	$4,286	$4,072
17 Steen Hall	$5,024	$4,967	$4,767	$4,824	$4,610
18 Kerr Hall	$4,401	$4,344	$4,144	$4,201	$3,987
20 Hall 20	$5,392	$5,335	$5,135	$5,192	$4,978
Lumberjack Landing	$5,951	$5,894	$5,694	$5,751	$5,537
Lodge 4br	$6,499	$6,442	$6,242	$6,299	$6,085
Lodge 2br	$6,769	$6,712	$6,512	$6,569	$6,355
Village (2) quads	$5,534	$5,477	$5,277	$5,334	$5,120
Village (1) 2br	$6,769	$6,712	$6,512	$6,569	$6,355
Village (3) 2 br	$7,329	$7,272	$7,072	$7,129	$6,915
Village (1 & 2) 1br	$7,839	$7,782	$7,582	$7,639	$7,425
Village (3) 1 br	$8,324	$8,267	$8,067	$8,124	$7,910

Students living in the halls listed above are required to have a board plan
Rates above include sales tax for Board

CHANGES TO FY2022 CAPITAL AND HIGHER EDUCATION FUND BUDGET SCHEDULE

Explanation:

The Board of Regents approved the fiscal year 2021-22 institutional operating budget at the July 2021 board meeting. A detailed Capital and Higher Education Fund (HEF) Schedule was also presented in association with the operating budget. Changes to the Capital and HEF schedule are required to reflect changes in budgetary needs, estimated costs, and use of contingency funds.

Touchnet Cashiering Touchnet was originally implemented with a cashiering feature that was not activated. There is an implementation fee to have this feature activated.

HEF Contingency funds are requested for an implementation fee in an amount not to exceed $9,500.

Title IX Security Camera and Switch It is crucial that the Title IX office institute security cameras in our office suite for the safety of our students, employees, and the Title IX team. The 2020 Federal Regulations surrounding Title IX mandated live hearings to which both parties, their advisors, and witnesses attend. With the aforementioned parties and their support persons present in the hallway for an average of two to three days for a hearing there is a heightened need for monitored security measures. These hearings must be recorded and retained. Security cameras would allow the University Police Department to maintain recordings of the Title IX suite should an altercation or more severe safety risk occur.

HEF Contingency funds are requested to purchase security cameras and a switch in an amount not to exceed $6,871.50.

ITS Infrastructure Refresh Many of the systems that provide IT services to the campus have reached end-of-life. These include classroom audio/visual equipment, workstations, networking equipment and servers. The proposed replacement will allow Information Technology Services to continue to provide critical IT services to students, faculty and staff.

Campus Realignment and Renovation funds are requested to purchase distribution switches, at an amount not to exceed $135,000, classroom support and upgrades at an amount not to exceed $225,000, server hardware at an amount not to exceed $400,000, and campus computer refresh at an amount not to exceed $550,000, for a total of $1,310,000.

Recommendation:

The administration recommends approval of changes to the FY2022 Capital and Higher Education Fund Schedule to: 1) Reallocate 2022 HEF Contingency funds for a Touchnet cashiering implementation fee at an amount not to exceed $9,500; 2) Reallocate 2022 HEF Contingency funds to purchase security cameras and a switch for Title IX at an amount not to exceed $6,871.50; 3) Reallocate Campus Space Realignment and Renovation funds to complete an ITS Infrastructure Refresh for a total not to exceed $1,310,000. The administration further recommends authorization of the president to sign associated purchase orders and contracts as necessary.

Stephen F. Austin State University
Higher Education Fund Budget Adjustment Schedule
Fiscal Year 2021-22

Division		Prior Year Budget Available As of January 7, 2022	HEF Original Budget Approved July 27,2021	Approved Budget Adjustment As of November 1, 2021	Approved Adjusted Budget As of November 1, 2021	Proposed Budget Adjustments As of February 1, 2022	Proposed Adjusted Budget As of February 1, 2022
	Prior Year HEF Unspent Allocation						
Other	Prior Year Unexpended Fund Balance	355,676.87					355,676.87
Finance & Admin	HEF Campus Space Realignment & Renovations	4,495,740.00				(1,310,000.00)	3,185,740.00
ITS	HEF Infrastructure Refresh	-				1,310,000.00	1,310,000.00
	Total Prior Year HEF Unspent Allocation	**4,851,416.87**				**-**	**4,851,416.87**
	Debt Service						
Academic Affairs	Debt Service Fine Arts		2,655,579.00		2,655,579.00		2,655,579.00
University Expenditures	Debt Service Energy Conservation Plan Phase 1		29,222.00	(29,222.00)	-		
University Expenditures	Debt Service Energy Conservation Plan Phase 2		65,993.00	(65,993.00)	-		
University Expenditures	Debt Service Energy Conservation Plan Phase 3		782,393.00		782,393.00		782,393.00
	Total Debt Service		**3,533,187.00**	**(95,215.00)**	**3,437,972.00**		**3,437,972.00**
	Capital Outlay						
ITS	Cloud-Based Software		1,619,279.00	(60,000.00)	1,559,279.00		1,559,279.00
							-
University Expenditures	SIS/ERP Hardware and Licensing		495,000.00		495,000.00		495,000.00
Enrollment Management	Financial Aid/Scholarship Software		30,367.00		30,367.00		30,367.00
University Expenditures	Endpoint Management Solution		75,700.00		75,700.00		75,700.00
University Expenditures	Endpoint Protection Solution		108,150.00		108,150.00		108,150.00
University Expenditures	Firewall Annual Subscriptions		154,350.00		154,350.00		154,350.00
University Expenditures	Annual Infrastructure Refresh		250,000.00		250,000.00		250,000.00
Student Affairs	Dining Plan Software		15,000.00	(15,000.00)	-		-
University Expenditures	Internet Name Resolution Hardware		85,000.00		85,000.00		85,000.00
University Expenditures	SAN Storage		250,000.00		250,000.00		250,000.00
ITS	Annual Campus Refresh Wireless		301,728.00		301,728.00		301,728.00
ITS	ITS Infrastructure Support		1,765,295.00	(15,000.00)	1,750,295.00		1,750,295.00
Academic Affairs	Library Materials Budget		1,100,000.00		1,100,000.00		1,100,000.00
Academic Affairs	Costume Collection Space Supplies		2,234.00		2,234.00		2,234.00
Academic Affairs	CNC Router - Art Shop Equipment		12,000.00		12,000.00		12,000.00
Academic Affairs	Petrographic Thin Section Laboratory Equipment		15,518.00		15,518.00		15,518.00
Academic Affairs	HPE Pool Heat Exchanger		16,000.00		16,000.00		16,000.00
Academic Affairs	Provost HEF Contingency		2,282.00		2,282.00		2,282.00
Academic Affairs	Student Gathering Room Ferguson G71		25,000.00		25,000.00		25,000.00
Academic Affairs	Graduate Athletic Training New Space Equipment		42,549.00		42,549.00		42,549.00
Academic Affairs	Large Format Book Scanner		42,985.00		42,985.00		42,985.00
Finance & Admin	Shelton Gym, Replace 4 AHUs		675,000.00		675,000.00		675,000.00
Finance & Admin	Power Plant 2, Replace Roof		86,400.00		86,400.00		86,400.00
Finance & Admin	Emergency Ops - Federal Signal SS2000D - Siren System		175,000.00		175,000.00		175,000.00
Finance & Admin	Campus Safety Cameras and Operating Software		402,000.00		402,000.00		402,000.00
Finance & Admin	E-Procurement Software		250,000.00		250,000.00		250,000.00
Finance & Admin	Tree Replacement - Phased Approach		38,784.00		38,784.00		38,784.00
Finance & Admin	Replace 25 Dumpsters		25,000.00		25,000.00		25,000.00
Finance & Admin	Police Vehicles (2)			114,000.00	114,000.00		114,000.00
Finance & Admin	Shuttle Bus			140,000.00	140,000.00		140,000.00
Finance & Admin	Touchnet Cashiering					9,500.00	9,500.00
Diversity, Equity & Inc	Title IX Security Camera and Switch					6,871.50	6,871.50
Other	Higher Education Fund Contingency		1,449,280.00	(83,785.00)	1,365,495.00	(16,371.50)	1,349,123.50
	Total Capital Outlay		**7,744,606.00**	**95,215.00**	**7,839,821.00**	**-**	**7,839,821.00**
	Total Higher Education Fund Budget		**11,277,793.00**	**-**	**11,277,793.00**		**11,277,793.00**

Budget Status and Analysis of Unrestricted Net Position

STEPHEN F. AUSTIN
STATE UNIVERSITY
NACOGDOCHES, TEXAS

2022 Operating Budget Assumptions

- Assumed 5% reduction in Mandatory Tuition and Fees based on FY2021 actual revenues
- Assumed Housing, Dining, and Parking would decrease an additional 2.8% over the FY21 actual decrease
- Recognized increases in specific line item revenues and expenditures

STEPHEN F. AUSTIN STATE UNIVERSITY

Fiscal Year 2022 Budget Development Summary

	FY 2021 Budget	FY 2021 Actual
Revenue and Expenditure Analysis	**Base Budget**	**5%**
Revenue Adjustments		
Tuition and Fees Decrease	0.00	(5,302,940.12)
One Time - CARES Act Funds	(3,100,000.00)	(3,100,000.00)
One Time - Staff Furlough	(1,440,000.00)	(1,440,000.00)
One Time - Distance Education Fee Reserve	(496,300.00)	(496,300.00)
One Time - Fund Balance Support	(1,341,828.65)	(1,341,828.65)
One Time - Divisional Savings Used to Fund FY2021	(1,336,781.12)	(1,336,781.12)
Revenue Shortfall	**(7,714,909.77)**	**(13,017,849.89)**
Budget Development Support		
Legislative Appropriations Increase	2,745,462.50	2,745,462.50
Higher Education Group Insurance (HEGI) Decrease	(190,377.00)	(190,377.00)
Distance Education Fee Revenue Increase	1,000,000.00	1,000,000.00
Total Revenue Decrease	**3,555,085.50**	**3,555,085.50**
Adjusted Budget Status	**(4,159,824.27)**	**(9,462,764.39)**
Expenditure Increases - Estimated		
Increase in Retiree Insurance	200,000.00	200,000.00
Faculty Promotions	129,000.00	129,000.00
Two Admissions Regional Coordinator Positions	103,350.00	103,350.00
Aviation Clinical Instructor/Prgm Director Position	110,500.00	110,500.00
RELLIS Academic Alliance Position	75,400.00	75,400.00
Increase in University Insurance	208,000.00	208,000.00
Center for Applied Rsch & Rural Innovation*	1,000,000.00	1,000,000.00
Decrease in TRB Debt Service	(4,200.00)	(4,200.00)
Total Projected Expenditure Increase	**1,822,050.00**	**1,822,050.00**
Projected Revenue Shortfall	**(5,981,874.27)**	**(11,284,814.39)**
	Flat	**5% Headcount Decrease**
Housing, Dining, Parking Revenue Shortfall**	(7,390,193.00)	(8,691,742.00)
One Time - Fund Balance Support	(1,152,737.50)	(1,152,737.50)
Decrease in Debt Service	2,171,541.00	2,171,541.00
Plug to balance to the total shown		(243,381.00)
Adjusted Auxiliary Revenue Shortfall	**(6,515,866.50)**	**(7,916,319.50)**
Projected Total Shortfall	**(12,497,740.77)**	**(19,201,133.89)**
Other Funding Sources		
American Rescue Plan HEERF III Funds	14,911,596.00	14,911,596.00
Adjusted FY 2022 Revenue Shortfall	**2,413,855.23**	**(4,289,537.89)**

More accurately described as FY2022 Projected

Should be Total Revenue Increase

"Structural Deficit"

**The corresponding revenue for this expenditure is included in the Legislative Appropriations Increase above and is appropriated to this specific initiative*

***Flat projections include a 23% decrease in FY 2021 Budget to Actual*

Fiscal Year 2022 Budget Development Summary

Revenue and Expenditure Analysis	FY 2021 Budget Base Budget	FY 2021 Actual 5%	Revenue Changes	Expenditure Changes
Revenue Adjustments				
Tuition and Fees Decrease	0.00	(5,302,940.12)	(5,302,940.12)	
One Time - CARES Act Funds	(3,100,000.00)	(3,100,000.00)	(3,100,000.00)	
One Time - Staff Furlough	(1,440,000.00)	(1,440,000.00)	(1,440,000.00)	
One Time - Distance Education Fee Reserve	(496,300.00)	(496,300.00)	(496,300.00)	
One Time - Fund Balance Support	(1,341,828.65)	(1,341,828.65)	(1,341,828.65)	
One Time - Divisional Savings Used to Fund FY2021	(1,336,781.12)	(1,336,781.12)	(1,336,781.12)	
Revenue Shortfall	**(7,714,909.77)**	**(13,017,849.89)**		
Budget Development Support				
Legislative Appropriations Increase	2,745,462.50	2,745,462.50	2,745,462.50	
Higher Education Group Insurance (HEGI) Decrease	(190,377.00)	(190,377.00)	(190,377.00)	
Distance Education Fee Revenue Increase	1,000,000.00	1,000,000.00	1,000,000.00	
Total Revenue Decrease	**3,555,085.50**	**3,555,085.50**		
Adjusted Budget Status	**(4,159,824.27)**	**(9,462,764.39)**		
Expenditure Increases - Estimated				
Increase in Retiree Insurance	200,000.00	200,000.00		200,000.00
Faculty Promotions	129,000.00	129,000.00		129,000.00
Two Admissions Regional Coordinator Positions	103,350.00	103,350.00		103,350.00
Aviation Clinical Instructor/Prgm Director Position	110,500.00	110,500.00		110,500.00
RELLIS Academic Alliance Position	75,400.00	75,400.00		75,400.00
Increase in University Insurance	208,000.00	208,000.00		208,000.00
Center for Applied Rsch & Rural Innovation*	1,000,000.00	1,000,000.00		1,000,000.00
Decrease in TRB Debt Service	(4,200.00)	(4,200.00)		(4,200.00)
Total Projected Expenditure Increase	**1,822,050.00**	**1,822,050.00**		
Projected Revenue Shortfall	**(5,981,874.27)**	**(11,284,814.39)**		
	Flat	**5% Headcount Decrease**		
Housing, Dining, Parking Revenue Shortfall**	(7,390,193.00)	(8,691,742.00)	(8,691,742.00)	
One Time - Fund Balance Support	(1,152,737.50)	(1,152,737.50)	(1,152,737.50)	
Decrease in Debt Service	2,171,541.00	2,171,541.00		(2,171,541.00)
Plug to balance to the total shown		(243,381.00)	(243,381.00)	
Adjusted Auxiliary Revenue Shortfall	**(6,515,866.50)**	**(7,916,319.50)**		
Projected Total Shortfall	**(12,497,740.77)**	**(19,201,133.89)**	(19,550,624.89)	(349,491.00)
Other Funding Sources				
American Rescue Plan HEERF III Funds	14,911,596.00	14,911,596.00	(19,550,624.89)	Total Revenue Shortfall
Adjusted FY 2022 Revenue Shortfall	**2,413,855.23**	**(4,289,537.89)**	349,491.00	Less:Net Decrease Expend
			(19,201,133.89)	Net Deficit

More accurately described as FY2022 Projected

Should be Total Revenue Increase

"Structural Deficit"

**The corresponding revenue for this expenditure is included in the Legislative Appropriations Increase above and is appropriated to this specific initiative*

***Flat projections include a 23% decrease in FY 2021 Budget to Actual*

Budgeted Revenue Schedule
FY 2022

Revenue Type	Designated	Education & General	Non-Pledged Auxiliary	Pledged Auxiliary	Restricted	Total
Capital Gifts					-	-
Charter School					2,371,590	2,371,590
Distributions from Endowments	1,602				539,902	541,504
Federal Revenue Non-Operating					23,395,341	23,395,341
Gifts	2,200				3,928,208	3,930,408
Grants and Contracts	246,000	10,000,430				10,246,430
Investment Income	805,555	75,000		320,000		1,200,555
Mandatory Tuition and Fees	83,325,491	15,204,324	3,658,103	1,985,508		104,173,426
Other Revenue	2,500	-	60,000		7,709	70,209
Other Tuition and Fees	1,114,858	922,600	8,000	270,000	-	2,315,458
Sales and Service	3,125,656	771,720	1,785,000	27,580,597	429,140	33,692,113
State Appropriations		60,517,966				60,517,966
Transfer in CARES/HEERF Funding	10,585,483			4,326,113		14,911,596
Transfer in VSIP Reinvestment Funds from FY 2021	363,284					363,284
Transfer in Fund Balance General	2,493,362			1,796,176		4,289,538
Total Revenue and Transfers In	**102,065,992**	**87,492,040**	**5,511,103**	**36,278,393**	**30,671,890**	**262,019,418**

$ 19,201,134
363,284
19,564,418

Is "structural deficit" the proper term regarding SFA's FY2022 budget?

A quick Google search returned the following definition:

What does structural deficit mean?

structural deficit(Noun) That portion of the public sector **deficit** which exists even when the economy is at potential. Government spending beyond government revenues at times of normal, predictable economic activity, as opposed to a cyclical **deficit**.

What does structural mean? - Definitions.net
www.definitions.net/definition/structural%20deficit

So by definition, a structural deficit would exist when actual average annual expenditures consistently exceed actual average annual revenues that are generated under normal operating conditions. The result of these differences would be measured by the change in fund balance, which specifically for SFA would be shown as Unrestricted Net Position (UNP).

Therefore, SFA must determine if FY2022 enrollment levels and revenue/expenditure levels are the "new norm". Also, a more in-depth review of the budget must be done to understand if there is an excess of expenditure budget that could be reduced to balance the budget without the use of fund balance.

Budgeted Revenue Schedule
Prior Year Comparison

Revenue Type	2021	2022	Change
Capital Gifts	10,000		(10,000)
Charter School	2,247,060	2,371,590	124,530
Distributions from Endowments	561,363	541,504	(19,859)
Federal Revenue Non-Operating	23,267,171	23,395,341	128,170
Gifts	4,566,518	3,930,408	(636,110)
Grants and Contracts	10,190,562	10,246,430	55,868
Investment Income	1,200,555	1,200,555	-
Mandatory Tuition and Fees	108,570,609	104,173,426	(4,397,182)
Other Revenue	170,209	70,209	(100,000)
Other Tuition and Fees	2,406,320	2,315,458	(90,862)
Sales and Service	43,367,936	33,692,113	(9,675,823)
State Appropriations	60,040,857	60,517,966	477,109
Subtotal Revenues	**256,599,159**	**242,455,000**	**(14,144,159)**
Transfer in CARES/HEERF Funding (Fund Balance)	3,100,000	14,911,596	11,811,596
Transfer in VSIP Reinvestment Funds from FY 2021	-	363,284	363,284
Transfer in Fund Balance General	5,767,647	4,289,538	(1,478,109)
Subtotal Use of Fund Balance	**8,867,647**	**19,564,418**	**10,696,771**
Total Revenue and Transfers In	**265,466,807**	**262,019,418**	**$ (3,447,388)**

Budgeted Expenditure Schedule
Prior Year Comparison

Expenditure Type	2021	2022	Change
Benefits	33,790,711	32,568,988	(1,221,723)
Capital Outlay	7,101,412	7,744,606	643,194
Graduate Wages	2,358,024	216,901	(2,141,123)
Grant Schol and Fellowships	54,326,954	53,951,137	(375,817)
Hazardous Duty Pay	22,840	24,190	1,350
Interdepartmental Transfer (IDT)	(1,934,240)	(1,812,240)	122,000
Longevity	1,130,371	894,920	(235,451)
Operations & Maintenance	46,950,908	58,341,615	11,390,707
Salaries	91,385,616	83,294,480	(8,091,136)
Student Wages	3,792,359	2,816,923	(975,436)
Student Workstudy Wages	70,272	59,600	(10,672)
Transfers to Retirement of Debt	25,072,529	21,990,944	(3,081,585)
Travel	1,399,051	1,221,629	(177,422)
VSIP Annual Payback	-	705,726	705,726
Total Budgeted Expenditures	**265,466,807**	**262,019,419**	**(3,447,388)**
Total Budgeted Revenues	256,599,159	242,455,000	(14,144,159)
Total Budgeted Use of Fund Balance (ie, Reserves)	8,867,648	19,564,419	10,696,771
Total Budgeted Funding	**265,466,807**	**262,019,419**	**(3,447,388)**

FY 2022 Revised Budget Deficit Projection as of 1-25-2022

Budgeted Use of Reserves from above:	
Transfer in CARES/HEERF Funding	14,911,596
Transfer in Fund Balance General	4,289,538
FY2022 Projected Revenue Deficit	**19,201,134**
Less: Contingencies and VSIP Savings	
Contingency Expenditures	(2,513,260)
VSIP Budgeted Savings	(2,828,373)
HEF Contingency (Available for Operating Capital Budgeted Expenditures)*	(1,449,280)
Total Contingencies and VSIP Savings	(6,790,913)
FY2022 Projected Revenue Deficit Excluding Contingencies & VSIP	**12,410,221**
Plus : Mandatory Tuition and Fees Shortfall to Budget	944,180
Less: Housing Revenue estimated over Budget	(2,179,112)
Less: Average Investment Earnings over Budget Est	(1,500,000)
Less: Non-Budgeted Unrestricted Revenue (3Peat & Hazlewood)	(1,100,000)
Total Budgeted Revenue Adjustments	**(3,834,932)**
Revised FY2022 Projected Revenue Deficit before FY22 Expense Analysis, Carryfoward Analysis, Vacant Positions Review	**8,575,289**

Budget to Actual
Fiscal Year 2022

Tuition/Fee	Budget FY 2022 July 1, 2021	Projected Actual Revenue FY 2022[1] January 25, 2022	Budget to Actual	Variance %
Designated Tuition	56,925,879	56,260,242	(665,637)	-1.17%
University Services Fee	18,583,497	18,581,975	(1,522)	-0.01%
Education & General Tuition	14,744,380	14,769,929	25,549	0.17%
Student Service Fee	3,658,103	3,629,782	(28,321)	-0.77%
Distance Learning Fee[2]	2,823,880	2,823,880	-	0.00%
Recreation Center Fee	2,442,084	2,416,605	(25,480)	-1.04%
Differential Tuition	2,188,918	2,162,687	(26,231)	-1.20%
Student Center Fee	1,985,508	1,792,204	(193,304)	-9.74%
Dual Credit Tuition	459,944	434,523	(25,421)	-5.53%
Registration Fee	180,633	178,806	(1,827)	-1.01%
Environmental Services Fee	112,993	111,601	(1,392)	-1.23%
International Education Fee	67,607	67,013	(594)	-0.88%
Total Mandatory Tuition and Fees	**104,173,426**	**103,229,246**	**(944,180)**	**-0.91%**
Housing	15,995,627	18,395,958	2,400,331	15.01%
Dining	9,746,495	11,033,826	1,287,331	13.21%
Parking	1,243,600	1,161,023	(82,577)	-6.64%
Postal Box Rent[2]	125,000	125,000	-	0.00%
Total Housing, Dining, etc.	**27,110,722**	**30,715,807**	**3,605,085**	**13.30%**
Housing Allowances[3]	**-**	**(1,425,973)**	**(1,425,973)**	
Adjusted Housing, Dining, etc.	**27,110,722**	**29,289,834**	**2,179,112**	**8.04%**

[1]Projected actual revenue includes Fall 2021 and Spring 2022 year to date actuals and Summer 2022 estimates

[2]Projected revenue assumes FY 2022 revenue will equal budget. Certain fees and revenue sources are accounted for annually. As a result the amounts were adjusted to FY 2022 budget for comparison

[3]Housing Allowances include the following initiatives: STEM, Music, Summer Rebate and FY 2022 Housing Awards

Operating Revenue FY2017-2021

	2021	2020	2019	2018	2017
Tuition and Fees - Pledged & Non-Pledged	128,774,607	128,825,506	124,411,726	115,572,754	115,272,064
Discounts and Allowances	(47,773,232)	(41,219,485)	(36,469,053)	(32,472,265)	(30,307,923)
Auxiliary Enterprise - Pledged & Non-Pledged	31,603,384	33,226,742	43,723,406	43,139,284	41,920,501
Discounts and Allowances	(11,089,230)	(10,894,812)	(12,963,439)	(11,715,796)	(10,635,704)
Subtotal Tuition, Fees, and Housing Revenue	**101,515,529**	**109,937,952**	**118,702,640**	**114,523,977**	**116,248,939**
Other Sales of Goods and Services Pledged & Non-Pledged	4,789,551	3,665,273	6,534,052	6,426,352	6,395,390
Federal & Federal Pass Through Revenue	4,198,272	2,709,708	3,120,266	3,294,851	3,953,963
State Pass-Through Revenue	11,746,071	12,440,400	12,351,956	11,172,431	10,841,496
Other Contracts and Grants	1,448,677	1,425,232	1,304,731	1,324,842	1,201,260
Other Operating Revenues	214,106	748,326	303,074	101,431	44,147
Subtotal Other Operating Revenue	**22,396,676**	**20,988,938**	**23,614,079**	**22,319,907**	**22,436,256**
Total Operating Revenue	**123,912,206**	**130,926,890**	**142,316,719**	**136,843,884**	**138,685,195**

Exemptions FY2017 – FY2021

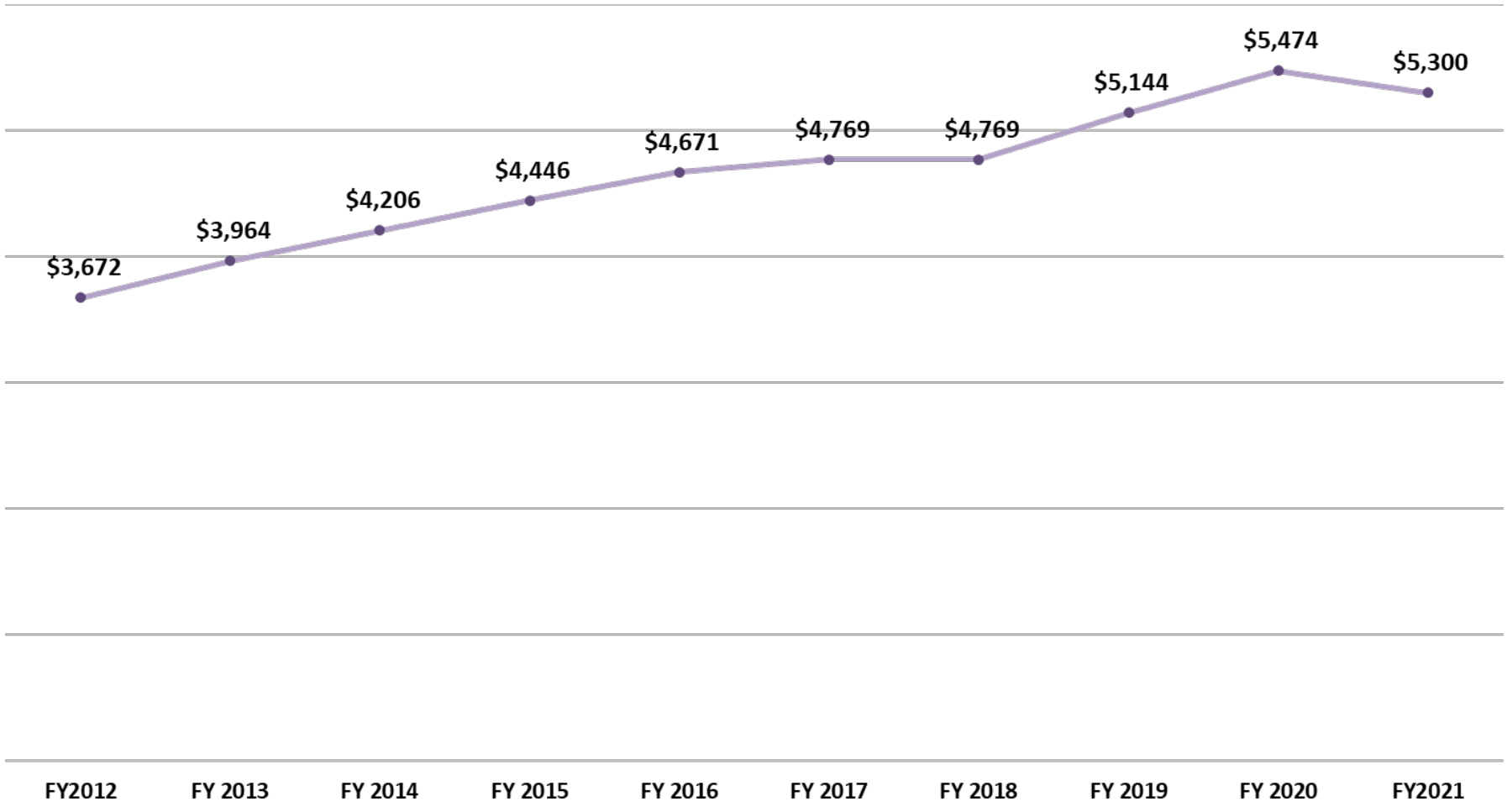
	2021	2020	2019	2018	2017
Tuition and Fees - Pledged & Non-Pledged	128,774,607	128,825,506	124,411,726	115,572,754	115,272,064
Exemptions	**(16,240,364)**	**(13,119,747)**	**(11,239,010)**	**(8,570,789)**	**(7,830,305)**
Tuition Discounts	(31,059,973)	(28,336,314)	(24,781,529)	(23,651,301)	(22,141,915)
Allowances for Doubtful Accounts	(472,896)	236,576	(448,514)	(250,175)	(335,703)
Net Student Tuition and Fees	81,001,375	87,606,022	87,942,673	83,100,489	84,964,142
Exemptions Detailed:					
Hazelwood Vet & Legacy	**(5,163,091)**	**(5,326,985)**	**(4,745,063)**	**(4,318,129)**	**(4,290,038)**
Dual Credit	**(5,295,200)**	**(4,304,039)**	**(3,140,593)**	**(1,277,136)**	**(1,072,396)**
LEAP - Spouse/Dependents/Employees	**(1,374,250)**	**(249,587)**	**-**	**-**	**-**
LEAP - GRA's and GTA's	**(1,029,673)**	**(44,964)**	**-**	**-**	**-**
Education Leadership	**(953,443)**	**(578,443)**	**(827,376)**	**(758,910)**	**(520,742)**
Other Exemptions (17 total)	**(2,424,707)**	**(2,615,729)**	**(2,525,979)**	**(2,216,614)**	**(1,947,129)**
Total Exemptions	**(16,240,364)**	**(13,119,747)**	**(11,239,010)**	**(8,570,789)**	**(7,830,305)**

Change in Enrolled Semester Credit Hours FY2017-FY2022 as of 1-26-2022

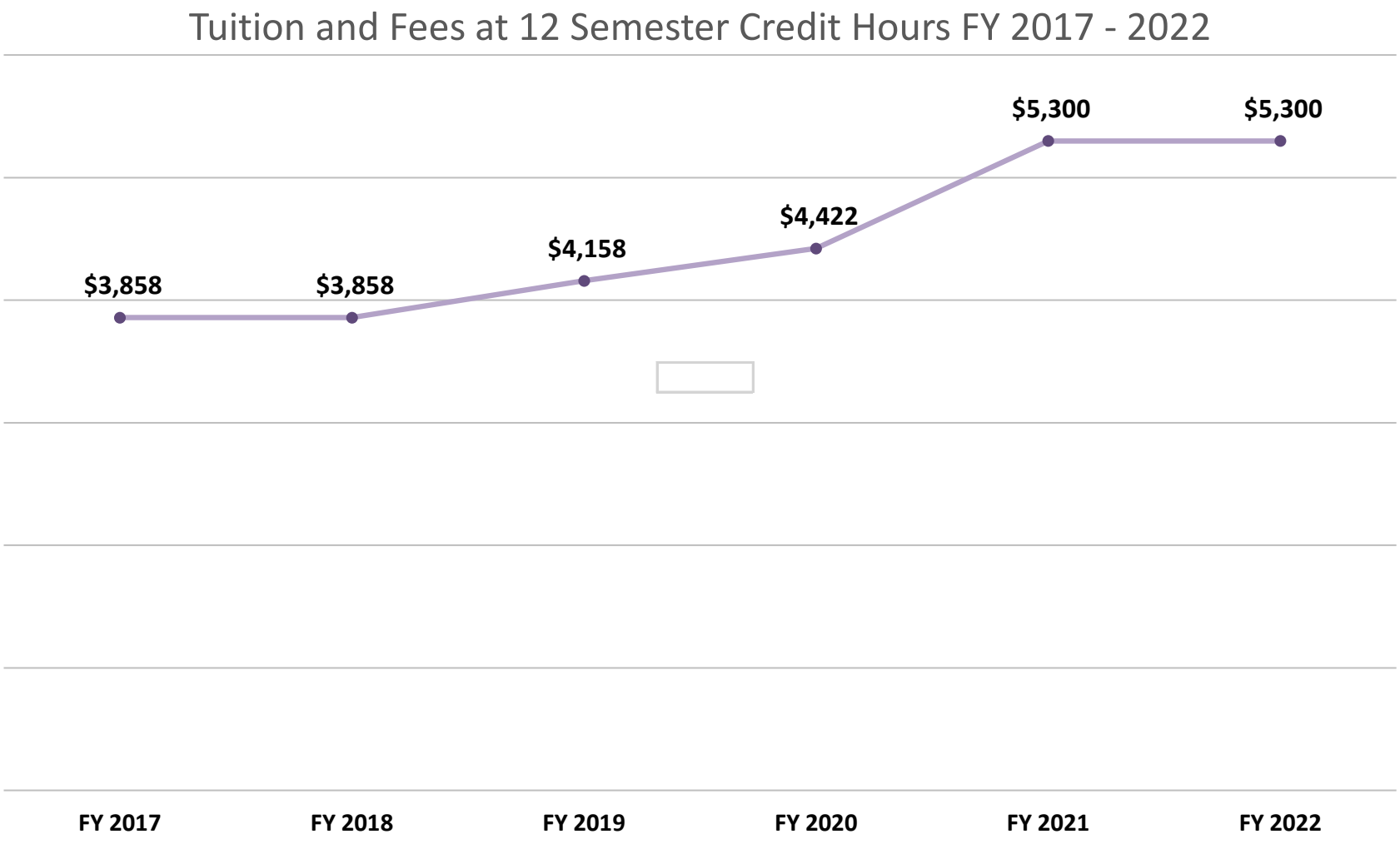
Stephen F. Austin State University Semester Credit Hours						
Year	Undergraduate	Master	Doctoral	Total	Total Change	% Change
2021-22*	270,054	27,401	1,475	298,930	(30,952)	-9.38%
2020-21	287,024	27,296	1,386	315,706	(14,176)	-4.30%
2019-20	298,392	25,451	883	324,726		
2018-19	298,776	28,155	1,073	328,004		
2017-18	299,533	28,420	1,045	328,998		
2016-17	300,561	28,320	1,001	329,882		
FY2022 Estimated Details:						
Fall	143,729					
Spring	126,034					
Summer 2021	29,167					
	298,930					

*Spring based on estimate from Enrollment Management as of 1-26-22; Summer estimated to be the same as 2021.

Tuition and Fees at 15 Semester Credit Hours FY2012 – 2021



Tuition and Fees at 12 Semester Credit Hours FY2012 – 2021



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Stephen F. Austin State University Budget Adjustment Report				
Revenue Type	**Approved Budget**	**Budget Adjustment**	**Budget Carryforward**	**Adjusted Budget**
	As of July 27, 2021	*As of January 7, 2022*	*As of January 7, 2022*	*As of January 7, 2022*
Education & General Funds				
Beginning Balance	$ -	$ -	$ -	$ -
E&G Tuition	$ 16,126,924	$ -	$ -	$ 16,126,924
Grants and Contracts	$ 10,000,430	$ -	$ -	$ 10,000,430
HEF Appropriation	$ 11,277,793	$ -	$ -	$ 11,277,793
Investment Income	$ 75,000	$ 11	$ -	$ 75,011
Other Revenues	$ -	$ 4,878	$ -	$ 4,878
Sales and Services	$ 771,720	$ -	$ -	$ 771,720
State Appropriations	$ 49,240,173	$ -	$ -	$ 49,240,173
Education & General Total	**$ 87,492,040**	**$ 4,889**	**$ -**	**$ 87,496,929**
Designated Funds				
Additions to Endowments	$ 1,602	$ -	$ -	$ 1,602
Beginning Balance	$ -	$ -	$ 23,224,486	$ 23,224,486
Capital Gifts and Grants	$ -	$ 134,608	$ -	$ 134,608
Designated Tuition	$ 56,925,879	$ -	$ -	$ 56,925,879
Differential Tuition	$ 2,188,918	$ -	$ -	$ 2,188,918
Distance Learning Fee	$ 2,823,880	$ -	$ -	$ 2,823,880
Environmental Services Fee	$ 112,993	$ -	$ -	$ 112,993
Gifts	$ 2,200	$ -	$ -	$ 2,200
Grants and Contracts	$ 246,000	$ -	$ -	$ 246,000
Installment Plan Fees	$ 224,956	$ -	$ -	$ 224,956
International Education Fee	$ 67,607	$ -	$ -	$ 67,607
Investment Income	$ 805,555	$ -	$ -	$ 805,555
Other Fees	$ 889,902	$ -	$ -	$ 889,902
Other Revenues	$ 2,500	$ -	$ -	$ 2,500
Recreation Center Fee	$ 2,442,084	$ -	$ -	$ 2,442,084
Registration Fee	$ 180,633	$ -	$ -	$ 180,633
Sales and Services	$ 3,125,656	$ 7,291	$ -	$ 3,132,947
Transfers In	$ 13,442,129	$ -	$ -	$ 13,442,129
University Services Fee	$ 18,583,497	$ -	$ -	$ 18,583,497
Designated Total	**$ 102,065,992**	**$ 141,899**	**$ 23,224,486**	**$ 125,432,377**

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Stephen F. Austin State University
Budget Adjustment Report

Revenue Type	Approved Budget	Budget Adjustment	Budget Carryforward	Adjusted Budget
	As of July 27, 2021	*As of January 7, 2022*	*As of January 7, 2022*	*As of January 7, 2022*
Non-Pledged Auxiliary Funds				
Athletic Ticket Sales	$ 235,000	$ -	$ -	$ 235,000
Beginning Balance	$ -	$ -	$ 78,786	$ 78,786
Concession Revenues	$ 30,000	$ -	$ -	$ 30,000
Game Guarantees	$ 675,000	$ -	$ -	$ 675,000
NCAA Revenue	$ 650,000	$ -	$ -	$ 650,000
Other Fees	$ 8,000	$ -	$ -	$ 8,000
Other Revenues	$ 60,000	$ -	$ -	$ 60,000
Sales and Services	$ 145,000	$ -	$ -	$ 145,000
Student Service Fee	$ 3,658,103	$ -	$ -	$ 3,658,103
Ticket Sales	$ 50,000	$ -	$ -	$ 50,000
Non-Pledged Auxiliary Total	**$ 5,511,103**	**$ -**	**$ 78,786**	**$ 5,589,889**
Pledged Auxiliary Funds				
Beginning Balance	$ -	$ -	$ 120,276	$ 120,276
Dining	$ 9,603,995	$ -	$ -	$ 9,603,995
Investment Income	$ 320,000	$ -	$ -	$ 320,000
Other Fees	$ 270,000	$ -	$ -	$ 270,000
Other Revenues	$ -	$ -	$ -	$ -
Parking	$ 1,243,600	$ -	$ -	$ 1,243,600
Sales and Services	$ 898,875	$ -	$ -	$ 898,875
Student Center Fee	$ 1,985,508	$ -	$ -	$ 1,985,508
Student Housing	$ 15,834,127	$ -	$ -	$ 15,834,127
Transfers In	$ 6,122,288	$ -	$ -	$ 6,122,288
Pledged Auxiliary Total	**$ 36,278,394**	**$ -**	**$ 120,276**	**$ 36,398,670**
Restricted Funds				
Additions to Endowments	$ 539,902	$ -	$ -	$ 539,902
Beginning Balance	$ -	$ -	$ 10,199,196	$ 10,199,196
Gifts	$ 3,928,208	$ 22,437	$ -	$ 3,950,645
Other Revenues	$ 7,709	$ -	$ -	$ 7,709
Charter School*	$ 2,371,590	$ 174,722	$ -	$ 2,546,312
Federal Grants*	$ 23,395,341	$ (23,426,418)	$ -	$ (31,077)
Sales and Services	$ 429,140	$ -	$ -	$ 429,140
Restricted Total	**$ 30,671,890**	**$ (23,229,259)**	**$ 10,199,196**	**$ 17,641,827**
Total Budget	**$ 262,019,418**	**$ (23,082,470)**	**$ 33,622,744**	**$ 272,559,692**

*Grant budget adjustments reflect changes from the estimated budget approved on July 27, 2021

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Stephen F. Austin State University Budget Adjustment Report Carryforward Detail by Fund			
Fund Description	**General Budget Carryforward**	**Contingency Budget Carryforward***	**Total Budget Carryforward**
	As of January 7, 2022	*As of January 7, 2022*	*As of January 7, 2022*
Designated Funds			
Cost Share Designated Funds	$ (11,890)	$ -	$ (11,890)
Designated Funds - General	$ 372,791	$ 1,269,214	$ 1,642,005
Designated Installment Fee	$ 45,763	$ -	$ 45,763
Designated Other Fees	$ 320,546	$ -	$ 320,546
Designated Reserve Fund	$ -	$ 956,477	$ 956,477
Designated Sales and Service	$ 2,396,076	$ -	$ 2,396,076
Designated Tuition	$ 3,546,792	$ 4,891,192	$ 8,437,984
Environmental Services Fee	$ 120,493	$ -	$ 120,493
Fixed Price Residuals	$ 211,931	$ -	$ 211,931
GR Differential Tuition	$ 115,996	$ -	$ 115,996
Graduate Application Fees	$ 153,437	$ -	$ 153,437
Indirect Cost Recovery	$ 1,335,334	$ -	$ 1,335,334
International Education Fee	$ 129,801	$ -	$ 129,801
President's Innovation Fund	$ 67,429	$ -	$ 67,429
Professional Development	$ 278,273	$ -	$ 278,273
Publications and Workbooks	$ 137,770	$ -	$ 137,770
Recreation Center	$ 414,890	$ -	$ 414,890
Set Aside Funds Graduate	$ 522,476	$ -	$ 522,476
Set Aside Funds Undergrad	$ 2,335,256	$ -	$ 2,335,256
Student Wage Designated Fund	$ 637,422	$ -	$ 637,422
Study Abroad Programs	$ (4,544)	$ -	$ (4,544)
Summer Session Salaries	$ 308,034	$ -	$ 308,034
TPEG Nonresident	$ 101,378	$ -	$ 101,378
TPEG Resident	$ 330,342	$ -	$ 330,342
UG Differential Tuition	$ 1,139,549	$ -	$ 1,139,549
University Services Fee	$ 996,437	$ 105,820	$ 1,102,258
Total Designated	**$ 16,001,782**	**$ 7,222,704**	**$ 23,224,486**

Analysis of Unrestricted Net Position

- Quick review of the December board meeting Analysis of Adjusted Net Position(UNP) - SACS Version
- Review the SACS Change in UNP in relation to the one-time Federal CARES revenue
- Analyze UNP in relation to SFA Policy 3.19 Institutional Reserves Fund

STEPHEN F. AUSTIN STATE UNIVERSITY

What are the differences in SACS vs Primary Ratio?

	SACS	Primary Reserve Ratio
Unrestricted Net Position (UNP)	Yes	Yes
Adjustments for GASB 68 & 75:		
Deferred outflows	Yes	Yes
Deferred inflows	Yes	Yes
OPEB liability - Current	No	Yes
OPEB liability - Noncurrent	Yes	Yes
Net Pension liability	Yes	Yes
Total Adjustments		
Adjusted UNP	Yes	Yes
Divided by:		
Total Operating Expenses	Yes	Yes
Plus Non-op expenses (interest exp & inv activities)	No	Yes
Less OPEB Expense	No	Yes
Less TRS Expense	No	Yes
Less Depreciation & Amortization	No	Yes
Adjusted Operating Expenses	No	Yes
Goal/Target Per Calculation	UNP = 25% Operating Expenses	UNP = 40% of Adjusted Operating Expenses

Analysis of Change in Unrestricted Net Position (UNP) According to SACS Standards

EXHIBIT 1
Calculation and Analysis of SFASU's Adjusted Unrestricted Net Position
Last Eight Years

	2021	2020	2019	New OPEB Standard 2018	2017	2016	New Pension Standard 2015	2014
Unrestricted Net Position (UNP)	$ (40,274,143)	$ (48,387,730)	$ (26,696,073)	$ 1,374,727	$ 55,345,049	$ 43,340,009	$ 41,859,822	$ 37,959,471
Adjustments:								
Compensated absences	2,920,731	4,147,479	4,503,475	4,259,028	3,981,836	4,058,229	3,991,209	3,881,075
Deferred outflows	(98,671,719)	(123,585,061)	(141,824,001)	(13,847,599)	(14,758,104)	(19,222,178)	(4,819,197)	(1,747,671)
Deferred inflows	55,831,468	58,405,904	58,851,752	22,283,595	10,653,756	2,953,992	5,629,453	-
OPEB liability	149,043,885	148,001,443	124,127,601	48,508,965	-	-	-	-
Net pension liability	47,397,222	47,647,340	64,565,433	26,521,381	28,553,006	39,843,358	18,417,008	22,609,962
Total Adjustments	156,521,587	134,617,105	110,224,260	87,725,370	28,430,494	27,633,401	23,218,473	24,743,367
Adjusted UNP	116,247,444	86,229,375	83,528,187	89,100,097	83,775,542	70,973,410	65,078,294	62,702,838
Adjusted UNP Analysis:								
Total Operating Expenses	255,853,495	250,769,673	255,807,839	221,676,811	216,292,075	220,364,586	207,762,992	203,377,110
Adjusted UNP % of Operating Expenses	45.4%	34.4%	32.7%	40.2%	38.7%	32.2%	31.3%	30.8%
Reserve Benchmark	25.0%	25.0%	25.0%	25.0%	25.0%	25.0%	25.0%	25.0%
Over (Under) 25% Benchmark	20.4%	9.4%	7.7%	15.2%	13.7%	7.2%	6.3%	5.8%
Adjusted UNP Days of Operating Expenses	164	124	118	145	139	116	113	111
Reserve Benchmark - 90 Days	90	90	90	90	90	90	90	90
Over (Under) 90-day Benchmark	74	34	28	55	49	26	23	21
Adjusted UNP	116,247,444	86,229,375	83,528,187	89,100,097	83,775,542	70,973,410	65,078,294	62,702,838
Less Reserves at 25% of Operating Expenses	63,963,374	62,692,418	63,951,960	55,419,203	54,073,019	55,091,146	51,940,748	50,844,278
Excess Adjusted UNP Over Benchmark	$ 52,284,070	$ 23,536,956	$ 19,576,227	$ 33,680,894	$ 29,702,524	$ 15,882,263	$ 13,137,546	$ 11,858,560
Change in Adjusted UNP	$ 30,018,069	$ 2,701,188	$ (5,571,911)	$ 5,324,555	$ 12,802,133	$ 5,895,115	$ 2,375,456	

SFASU's 2020 expenses were restated from $253,414 in the State's CAFR to $250,769 in SFASU's AFR resuling in 34.4% to 34.0% ratio, respectively.
Amounts are expressed in actual dollars based on amounts obtained from SFASU's annual financial report.

Excerpt from SACS Change in Unrestricted Net Position (UNP) According to SACS Standards – Compared to CARES Aid Received

		EXHIBIT 1						
		Calculation and Analysis of SFASU's Adjusted Unrestricted Net Position						
		Last Eight Years						
				New OPEB Standard			New Pension Standard	
	2021	2020	2019	2018	2017	2016	2015	2014
Unrestricted Net Position (UNP)	$ (40,274,143)	$ (48,387,730)	$ (26,696,073)	$ 1,374,727	$ 55,345,049	$ 43,340,009	$ 41,859,822	$ 37,959,471
Adjustments:								
Compensated absences	2,920,731	4,147,479	4,503,475	4,259,028	3,981,836	4,058,229	3,991,209	3,881,075
Deferred outflows	(98,671,719)	(123,585,061)	(141,824,001)	(13,847,599)	(14,758,104)	(19,222,178)	(4,819,197)	(1,747,671)
Deferred inflows	55,831,468	58,405,904	58,851,752	22,283,595	10,653,756	2,953,992	5,629,453	
OPEB liability	149,043,885	148,001,443	124,127,601	48,508,965				
Net Pension liability	47,397,222	47,647,340	64,565,433	26,521,381	28,553,006	39,843,358	18,417,008	22,609,962
Total Adjustments	156,521,587	134,617,105	110,224,260	87,725,370	28,430,494	27,633,401	23,218,473	24,743,366
Adjusted UNP	116,247,444	86,229,375	83,528,187	89,100,097	83,775,543	70,973,410	65,078,295	62,702,837
Change in UNP	30,018,069	2,701,188	(5,571,910)	5,324,554	12,802,133	5,895,115	2,375,458	
Less: CARES Institutional Aid	(28,070,292)	(4,250,410)						
Change in UNP excluding CARES (ie, Change in UNP from Fiscal Year Activities)	1,947,777	(1,549,222)	(5,571,910)	5,324,554	12,802,133	5,895,115	2,375,458	-

Analysis of Primary Reserve Ratio – Policy 3.19 Institutional Reserves Fund

$$\text{Primary Reserve Ratio} = \frac{\text{Total Expendable Assets}}{\text{Total Operating Expenses + Non-Operating Expenses - Depreciation}}$$

		EXHIBIT 1						
		Calculation of Primary Reserves Ratio						
		Last Eight Years						
				New OPEB Standard			New Pension Standard	
	2021	2020	2019	2018	2017	2016	2015	2014
Unrestricted Net Position (UNP)	$ (40,274,143)	$ (48,387,730)	$ (26,696,073)	$ 1,374,727	$ 55,345,049	$ 43,340,009	$ 41,859,822	$ 37,959,471
Adjustments for GASB 68 & 75:								
Deferred outflows	(98,671,719)	(123,585,061)	(141,824,001)	(13,847,599)	(14,758,104)	(19,222,178)	(4,819,197)	(1,747,671)
Deferred inflows	55,831,468	58,405,904	58,851,752	22,283,595	10,653,756	2,953,992	5,629,453	-
OPEB liability - Current	5,143,127	4,844,354	1,878,420	247,395	-	-	-	-
OPEB liability - Noncurrent	149,043,885	148,001,443	125,819,972	48,508,965	-	-	-	-
Net Pension liability	47,397,222	47,647,340	64,565,433	26,521,381	28,553,006	39,843,358	18,417,008	22,609,962
Total Adjustments	158,743,983	135,313,980	109,291,576	83,713,737	24,448,658	23,575,172	19,227,264	20,862,291
Adjusted UNP	118,469,840	86,926,250	82,595,503	85,088,464	79,793,707	66,915,181	61,087,086	58,821,762
Divided by:								
Total Operating Expenses	255,853,495	250,769,673	255,807,839	221,676,811	216,292,075	220,364,586	207,762,992	203,377,110
Plus Non-op expenses (interest exp & inv activities)	7,700,328	8,040,058	7,593,463	2,838,795	5,193,223	4,873,730	7,053,986	6,930,218
Less OPEB Expense	(19,912,090)	(20,708,708)	(19,824,851)	(2,087,423)	-	-	-	-
Less TRS Expense	(3,526,163)	(5,320,240)	(5,759,097)	(259,469)	(875,585)	(4,347,908)	(1,702,521)	-
Less Depreciation & Amortization	(18,823,601)	(19,213,096)	(18,711,720)	(16,440,353)	(16,704,232)	(16,264,083)	(16,352,303)	(16,871,874)
Adjusted Operating Expenses	221,291,970	213,567,687	219,105,634	205,728,361	203,905,482	204,626,324	196,762,154	193,435,454
Primary Reserve Ratio	53.5%	40.7%	37.7%	41.4%	39.1%	32.7%	31.0%	30.4%
Primary Reserve Ratio Goal Per Policy 3.19	40.0%	40.0%	40.0%	40.0%	40.0%	40.0%	40.0%	40.0%
Primary Reserve Ratio in Days (based on 360 days)	193	147	136	149	141	118	112	109
Excess/Shortage of Adjusted UNP	29,953,052	1,499,175	(5,046,751)	2,797,120	(1,768,486)	(14,935,349)	(17,617,776)	(18,552,420)

Next Steps

- Forecast future enrollment trends
- Compare 2021 Original Budget to 2021 Actual Expenditures
- Finalize the Budget Adjustments report by Funding Source and Expenditure Type
- Project Budget to Actual FY2022

STEPHEN F. AUSTIN STATE UNIVERSITY

ACCEPTANCE OF ANNUAL FINANCIAL REPORTS FROM INSTITUTIONALLY RELATED ENTITIES

Explanation:
The Department of Audit Services recommended that the annual financial statements of the university's institutionally related entities be formally submitted and accepted by the board of regents as to increase communication, understanding, and oversight of the university's overall financial condition.

Recommendation:
The administration recommends that the board of regents review and accept the annual financial statements of the university's institutionally related private support organizations that currently includes the Stephen F. Austin State University Foundation, Inc., SFA Real Estate Foundation, Inc. and the Stephen F. Austin State University Alumni Association, Inc.

STEPHEN F. AUSTIN STATE
UNIVERSITY FOUNDATION, INC.
Nacogdoches, Texas

ANNUAL FINANCIAL REPORT

December 31, 2020 and 2019

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AXLEY&RODE LLP
CERTIFIED PUBLIC ACCOUNTANTS

INDEPENDENT AUDITORS' REPORT

Members of the Board of Trustees of
Stephen F. Austin State University
Foundation, Inc.

We have audited the accompanying financial statements of Stephen F. Austin State University Foundation, Inc., (a nonprofit 501(c)(3) organization) which comprise the statements of financial position as of December 31, 2020 and 2019, and the related statements of activities, functional expenses and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosure in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Stephen F. Austin State University Foundation, Inc. at December 31, 2020 and 2019, and the changes in its net assets and its cash flows for the year then ended, in conformity with accounting principles generally accepted in the United States of America.

Axley & Rode LLP
CERTIFIED PUBLIC ACCOUNTANTS

Lufkin, Texas
October 21, 2021

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
STATEMENTS OF FINANCIAL POSITION

	DECEMBER 31, 2020	DECEMBER 31, 2019
ASSETS		
Cash and cash equivalents	$ 263 213	$ 211 679
Other receivables	-	13 800
Accrued interest receivable	113 322	120 184
Unconditional promises to give	3 997 561	1 136 348
Annuity	437 474	446 555
Net receivable from charitable remainder trust	229 277	234 104
Investments (at fair value)	91 745 925	75 221 788
Cash value of life insurance	1 382 590	1 256 679
TOTAL ASSETS	$ 98 169 362	$ 78 641 137
LIABILITIES AND NET ASSETS		
Liabilities:		
Accounts payable	$ 61 802	$ 30 057
Annuities payable	135 778	154 120
Other liabilities	-	7 500
TOTAL LIABILITIES	197 580	191 677
Net Assets:		
Without donor restrictions	618 899	599 855
With donor restrictions	10 874 991	7 567 666
With donor restrictions - Endowment funds	86 477 892	70 281 939
TOTAL NET ASSETS	97 971 782	78 449 460
TOTAL LIABILITIES AND NET ASSETS	$ 98 169 362	$ 78 641 137

The accompanying notes are an integral part of this financial statement.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
STATEMENT OF ACTIVITIES

	FOR THE YEAR ENDED DECEMBER 31, 2020		
	WITHOUT DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS	TOTAL
Revenue and Other Support:			
Contributions and gifts	$ 5 428	$ 12 653 505	$ 12 658 933
Royalty income	-	25 742	25 742
Change in cash value of life insurance	-	125 911	125 911
Change in value of annuity	-	(9 081)	(9 081)
TOTAL REVENUE AND OTHER SUPPORT	5 428	12 796 077	12 801 505
Investment earnings, net of fees	331	9 442 450	9 442 781
Reclassifications	(3 553)	3 553	-
Net assets released from restrictions	2 738 802	(2 738 802)	-
TOTAL REVENUE	2 741 008	19 503 278	22 244 286
Expenses:			
Program Services:			
Management of gifts	2 373 659	-	2 373 659
Donor recognition and stewardship	316 465	-	316 465
TOTAL PROGRAM SERVICES	2 690 124	-	2 690 124
Support Services:			
Administration	31 840	-	31 840
TOTAL SUPPORT SERVICES	31 840	-	31 840
TOTAL EXPENSES	2 721 964	-	2 721 964
CHANGE IN NET ASSETS	19 044	19 503 278	19 522 322
Net assets, beginning	599 855	77 849 605	78 449 460
NET ASSETS, ENDING	$ 618 899	$ 97 352 883	$ 97 971 782

The accompanying notes are an integral part of this financial statement.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
STATEMENT OF ACTIVITIES

	FOR THE YEAR ENDED DECEMBER 31, 2019		
	WITHOUT DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS	TOTAL
Revenue and Other Support:			
Contributions and gifts	$ 40 475	$ 4 386 533	$ 4 427 008
Royalty income	-	27 996	27 996
Change in cash value of life insurance	-	45 945	45 945
TOTAL REVENUE AND OTHER SUPPORT	40 475	4 460 474	4 500 949
Investment earnings, net of fees	-	11 448 231	11 448 231
Reclassifications	(36 261)	36 261	-
Net assets released from restrictions	1 486 899	(1 486 899)	-
TOTAL REVENUE	1 491 113	14 458 067	15 949 180
Expenses:			
Program Services:			
Management of gifts	1 517 300	-	1 517 300
Donor recognition and stewardship	223 408	-	223 408
TOTAL PROGRAM SERVICES	1 740 708	-	1 740 708
Support Services:			
Administration	35 114	-	35 114
TOTAL SUPPORT SERVICES	35 114	-	35 114
TOTAL EXPENSES	1 775 822	-	1 775 822
CHANGE IN NET ASSETS	(284 709)	14 458 067	14 173 358
Net assets, beginning	884 564	63 391 538	64 276 102
NET ASSETS, ENDING	$ 599 855	77 849 605	78 449 460

The accompanying notes are an integral part of this financial statement.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
STATEMENTS OF FUNCTIONAL EXPENSES
For the Year Ended December 31, 2020 and 2019

	PROGRAM SERVICES		
	MANAGEMENT OF GIFTS	DONOR RECOGNITION AND STEWARDSHIP	TOTAL PROGRAM SERVICES
December 31, 2020:			
Distribution of endowment earnings to Stephen F. Austin State University for scholarships and academic programs	$ 2 078 539	$ -	$ 2 078 539
Annuities expense	7 808	-	7 808
Cost of activities and events	-	18 517	18 517
SFASU Alumni Association fee	252 945	-	252 945
Cost of donor software	-	5 745	5 745
University capital campaign support	-	290 656	290 656
Legal and accounting fees	33 829	-	33 829
Travel and conferences	-	-	-
Supplies, postage and bank fees	-	1 547	1 547
Other expenses	538	-	538
TOTAL EXPENSES, YEAR ENDED DECEMBER 31, 2020	$ 2 373 659	$ 316 465	$ 2 690 124
December 31, 2019:			
Distribution of endowment earnings to Stephen F. Austin State University for scholarships and academic programs	$ 1 492 290	$ -	$ 1 492 290
Annuities expense	(263 087)	-	(263 087)
Cost of activities and events	-	69 957	69 957
SFASU Alumni Association fee	257 696	-	257 696
Cost of donor software	-	6 292	6 292
University capital campaign support	-	143 210	143 210
Legal and accounting fees	29 651	-	29 651
Travel and conferences	-	-	-
Supplies, postage and bank fees	-	3 949	3 949
Other expenses	750	-	750
TOTAL EXPENSES, YEAR ENDED DECEMBER 31, 2019	$ 1 517 300	$ 223 408	$ 1 740 708

The accompanying notes are an integral part of this financial statement.

SUPPORT SERVICES	
ADMINISTRATION	TOTAL
$ -	$ 2 078 539
-	7 808
-	18 517
-	252 945
-	5 745
-	290 656
21 276	55 105
1 508	1 508
682	2 229
8 374	8 912
$ 31 840	$ 2 721 964

$ -	$ 1 492 290
-	(263 087)
-	69 957
-	257 696
-	6 292
-	143 210
24 989	54 640
6 178	6 178
547	4 496
3 400	4 150
$ 35 114	$ 1 775 822

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
STATEMENTS OF CASH FLOWS
For the Years Ended December 31, 2020 and 2019

	2020	2019
Cash Flows from Operating Activities:		
Change in net assets	$ 19 522 322	$ 14 173 358
Adjustments to Reconcile Increase (Decrease) in Net Assets to Cash Provided by Operating Activities:		
Realized (gain) loss on sale of investments	(2 145 593)	(821 599)
Unrealized (gain) loss on investments	(6 023 367)	(9 365 439)
Net change in value of annuity	9 081	-
Net (gain) loss on valuation of annuities payable	7 808	(263 087)
(Increase) decrease in accrued interest receivable	6 862	8 839
(Increase) decrease in other receivables	13 800	5 750
(Increase) decrease in cash value of life insurance	(125 911)	(45 945)
(Increase) decrease in net receivable from irrevocable trust	4 827	(19 900)
(Increase) decrease in unconditional promises to give	(2 861 213)	113 095
Increase (decrease) in accounts payable	31 745	4 992
Increase (decrease) in other liabilities	(7 500)	3 991
NET CASH PROVIDED BY OPERATING ACTIVITIES	8 432 861	3 794 055
Cash Flows from Investing Activities:		
Purchase of certificates of deposit	(1 141 000)	(2 764 000)
Proceeds from sale and maturities of investments	50 005 428	26 906 467
Purchase of investments	(57 219 605)	(28 025 384)
NET CASH PROVIDED (USED) IN INVESTING ACTIVITIES	(8 355 177)	(3 882 917)
Cash Flows from Financing Activities:		
Payments on gift annuity contract maturities	(26 150)	(151 803)
NET CASH USED IN FINANCING ACTIVITIES	(26 150)	(151 803)
NET INCREASE (DECREASE) IN CASH AND CASH EQUIVALENTS	51 534	(240 665)
Cash and cash equivalents, beginning	211 679	452 344
CASH AND CASH EQUIVALENTS, ENDING	$ 263 213	$ 211 679

The accompanying notes are an integral part of this financial statement.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS

NOTE 1 - ORGANIZATION AND OPERATION

The Stephen F. Austin State University Foundation, Inc. (Foundation) was incorporated in 1975 to receive and administer gifts, grants and bequests of money and property for the benefit of Stephen F. Austin State University (University) in Nacogdoches, Texas and its students and faculty. It is a non-profit corporation formed to provide a means whereby individuals and organizations can financially support the goals and needs of the faculty and students of the University. The Foundation fulfills its purpose by distributing funds for student scholarships, faculty salary supplements, academic programs, outstanding guest lecturers and artists, and also promoting the University among interested parties. The Foundation currently has no employees, but relies on University employees to fulfill its responsibilities. Also, the Foundation maintains endowments and charitable gift annuities to provide for long-term resources.

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The following is a summary of the Foundation's significant accounting and reporting policies:

Basis of Accounting:

The accompanying financial statements have been prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America (GAAP) as applied to non-profit organizations.

Financial Statement Presentation:

The Foundation reports information regarding its financial position and activities according to two classes of net assets that are based upon the existence or absence of restrictions on use that are placed by its donors: net assets without donor restrictions and net assets with donor restrictions.

Net assets without donor restrictions are resources available to support operations and not subject to donor restrictions. The only limits on the use of net assets without donor restrictions are the broad limits resulting from the nature of the Foundation, the environment in which it operates, the purposes specified in its corporate documents and its application for tax-exempt status.

Net assets with donor restrictions are resources that are subject to donor-imposed restrictions. Some restrictions are temporary in nature, such as those that are restricted by a donor for use for a particular purpose or in a particular future period. Other restrictions may be perpetual in nature, such as those that are restricted by a donor that the resources be maintained in perpetuity.

The Foundation's donor-restricted endowment funds are classified in net assets with donor restrictions. When a donor's restriction is satisfied, either by using the resources in the manner specified by the donor or by the passage of time, the expiration of the restriction is reported in the financial statements by reclassifying the net assets from net asset with donor restrictions to net assets without donor restrictions.

Fair Value Measurements:

Current professional standards define fair value as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. Fair value should be based on assumptions that market participants would use, including a consideration of non-performance risk. Management assesses the inputs used to measure fair value using a three-tier hierarchy based on the extent to which inputs used in measuring fair value are observable in the market. Level 1 inputs are quoted market prices for identical instruments in an active market that the entity has the ability to access and are the most observable. Level 2 inputs include quoted market prices for similar assets and observable inputs such as interest rates, currency exchange rates, commodity rates, and yield curves. Level 3 inputs are not observable in the market and include management's judgments about the assumptions market participants would use in pricing the asset or liability.

Use of Estimates:

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues, expenses, gains, losses and other changes in net assets during the reported period. Actual results could differ from those estimates.

Contributions and Unconditional Promises to Give:

Contributions are recognized when the donor makes a promise to give to the Foundation that is unconditional. Contributions that are restricted by the donor are reported as increases in net assets without donor restrictions if the restrictions expire in the fiscal year in which the contributions are recognized. All other donor-restricted support is reported as an increase in net assets with donor restrictions, depending on the nature of the restrictions.

Unconditional contributions are recognized as revenues in the period received. Conditional contributions are recorded as deferred revenue when received and recognized as income in the period that the conditions are substantially met.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - CONTINUED

Unconditional promises to give (pledges) are recognized as revenue when the commitment is communicated to the Foundation. Conditional promises to give are not recognized until any conditions on which they depend are substantially met. Contributions of assets other than cash are recorded at their estimated fair value.

Unconditional promises to give the Foundation cash or other assets in the future are recorded at their fair value as contribution revenue and contributions receivable. If management expects the cash from the contribution receivable to be received for more than one year in the future, the contribution revenue and receivable are discounted for the time value of money at a discount rate commensurate with low-risk U.S. Treasury instruments at the time of the gift. Management considers all contributions receivable as fully collectible.

Cash and Cash Equivalents:

Cash and cash equivalents include bank accounts and money market funds available for current operations. Cash and cash equivalents that are held for investment purposes are classified as investments (see Note 3).

Investments:

Investments are reported at fair value. Unrealized gains and losses are reported in the statement of activities. Fair values are obtained from the various investment firms that manage the Foundation's investments. Realized gains and losses are determined using the specific identification method for investments in marketable debt securities, and the first-in, first-out (FIFO) method is used for mutual fund and marketable equity securities. Donated investments are recorded at fair value at the time received. The net appreciation or decline in the fair value of investments, which consists of the realized gains or losses and the unrealized appreciation or decline of those investments, is shown in the statement of activities. Investment income is accrued as earned and reported net of investment advisory fees.

The Foundation has significant exposure to a number of risks including interest, market and credit risks for its investment securities. Due to the level of risk exposure, it is possible that near-term valuation changes for investment securities may occur to an extent that could materially affect the amounts reported in the financial statements.

The Foundation maintains pooled investment accounts for its endowments. Investment income and realized and unrealized gains and losses from securities in the pooled investment accounts are allocated periodically to the individual endowments based on the relationship of the fair value of the interest of each endowment to total fair value of the pooled investment accounts, as adjusted for additions to or deductions from those accounts. The Foundation is paid a management fee of one percent of the average invested balance. Up to five percent of the average invested balance is distributed for the purposes delineated in the endowment memorandums of understanding. If returns permit, an amount equal to the rate of inflation may be added back to each endowment principal balance, and an amount may be added to a contingency reserve that may be distributed during years of poor investment performance as determined by the finance committee.

Split Interest Agreements:

Charitable Gift Annuities - The Foundation has entered into irrevocable agreements with donors whereby donors contribute assets in exchange for the right to receive a fixed dollar annual return for their benefit. Obligations to beneficiaries of charitable gift annuities are recorded when incurred at the present value of the distributions to be made to the donor-designated beneficiaries. Present values are determined using life expectancy tables and discount rates established by the Internal Revenue Service. The excess of the value of annuity gift assets received over the computed liability is recorded as support in the year of receipt. The amount recorded as a contribution is considered to be restricted until maturity of the annuity contract. Upon the donor's death, the excess of the gift plus investment earnings over the distributions paid to the donor become restricted endowments, as specified by the gift annuity contracts. The Foundation annually revalues the gift annuity liability for each donor, based on the change in the donor's life expectancy since the prior year. The resulting change in the liability is reported in the statement of activities.

Charitable Remainder Trust - The Foundation is the beneficiary of an irrevocable charitable remainder trust. Under the agreement, the donors retain the rights to periodic distributions from the trust for specified terms. At the end of the trust's term, the assets of the trust become the property of the Foundation. The remainder interest is valued as the market value of trust assets, less the present value of cash flows expected to be paid to the beneficiaries. This amount is recalculated annually and the change in value is recognized as a contribution.

Allocation of Expenses:

The costs of providing various programs and other activities have been summarized on a functional basis in the statement of activities and in the statement of functional expenses. Expenses which directly benefit a specific program are charged to the program benefited. Certain other costs benefit more than one program and accordingly are allocated to the various programs and supporting services benefited.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - CONTINUED

Program Services:

The operating expenses of the Foundation are allocated to two different program service categories in the statement of functional expenses based on management's estimate of the time and expense spent for each of the functions. These functions are defined as follows:

Management of Gifts - The costs are associated with maintenance of endowments and other major gifts that have been granted to the Foundation. These costs include management of endowments, annuities, trusts and investments. Costs also include the distribution of endowment earnings, payments of annuity earnings to the beneficiaries and periodic reporting to interested parties.

Donor Recognition and Development - The costs associated with gathering, processing and maintaining financial and donor information. This function also includes the cost of ongoing donor stewardship.

Federal Income Tax:

The Foundation is a not for profit organization that is exempt from Federal income taxes under Section 501(c)(3) of the Internal Revenue Code. In addition, the Internal Revenue service has determined that the foundation is not a "private foundation" within the meaning of Section 509(a) and qualifies for deductible contributions as provided in Section 170(b)(1)(A)(vi). Form 990 is filed annually.

Contributed Facilities and Services:

The Foundation receives the benefit of donated services and facilities. Donated services and facilities have not been recorded as revenue or expenses because the amount is not considered material to these financial statements.

Uncertain Tax Positions:

The Financial Accounting Standards Board FASB Codification Section 740 requires recognition, measurement and disclosure of uncertain tax positions. The Foundation currently accounts for uncertain tax positions based on the estimated likelihood of assessment and has not determined that any tax positions require an accrual based on current standards of accounting. The Foundation is generally no longer subject to Federal tax examinations for years before 2017.

Subsequent Events:

Management has evaluated subsequent events through October 21, 2021 the date the financial statements were available to be issued.

NOTE 3 - INVESTMENTS

Investments are reported at fair value, based primarily on market quotes. The cost and fair value of the Foundation's investments at December 31, 2020 and 2019 are as follows:

	2020		2019	
	COST	FAIR VALUE	COST	FAIR VALUE
Cash and short-term investments	$ 11 227 200	$ 11 227 200	$ 4 807 461	$ 4 807 461
Certificates of deposit	1 385 000	1 397 540	4 205 000	4 210 123
Corporate bonds	6 870 115	7 233 158	6 435 989	6 621 259
Marketable equity securities	32 691 372	42 303 748	28 493 682	34 391 396
Partnerships	146 608	209 356	160 790	231 167
Mutual funds	15 071 840	17 914 954	13 822 897	14 954 646
Municipal bonds	7 166 749	7 635 111	6 478 752	6 650 592
Obligations of U.S. agencies	3 624 742	3 824 858	3 268 568	3 355 144
TOTAL	$ 78 183 626	$ 91 745 925	$ 67 673 139	$ 75 221 788

Income from investments, as reported in the accompanying statements of activities, is summarized as follows, for the years ended December 31, 2020 and 2019 are as follows:

	2020	2019
Dividends and interest	$ 1 630 564	$ 1 567 822
Realized gain (loss) on sale of investments	2 145 593	821 599
Less: Portfolio management fees	(356 743)	(306 629)
NET REALIZED EARNINGS	3 419 414	2 082 792
Unrealized gain (loss)	6 023 367	9 365 439
NET INVESTMENT EARNINGS	$ 9 442 781	$ 11 448 231

The fair value of assets (equity securities, certificates of deposit and a money market account) totaling $236,485 and $215,673 as of December 31, 2020 and 2019, pertain to a certain endowment that requires the funds to be held in a trust account at a local bank.

The Foundation has committed to fund capital contributions to Capital Partners IV in the amount of $500,000. At December 31, 2020, the Foundation had funded $468,750 of the original commitment and had $31,250 remaining to fund in future periods.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED

NOTE 4 - FAIR VALUE MEASUREMENTS

The Foundation's investments are reported at fair value in the accompanying statement of financial position. The methods used to measure fair value may produce an amount that may not be indicative of net realizable value or reflective of future fair values. Furthermore, although the Foundation believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

The fair value measurement accounting literature establishes a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy consists of three broad levels: Level 1, Level 2, and Level 3. The Foundation uses appropriate valuation techniques based on the available inputs to measure the fair value of its investments. When available, the Foundation measures fair value using Level 1 inputs because they generally provide the most reliable evidence of fair value; Level 3 inputs were only used when Level 1 or Level 2 inputs were not available. The three levels of the fair value hierarchy are as follows:

Level 1 inputs are unadjusted quoted prices in active markets for identical assets or liabilities that the Foundation has the ability to access at the measurement date. The fair value of the corporate bonds, marketable equity securities, mutual funds, municipal bonds and obligations of U.S. Agencies is based on quoted net asset values of the shares held by the Foundation at year-end and are classified as Level 1 prices.

Level 2 inputs are inputs other than quoted prices included within Level 1 that are observable for the asset or liability, either directly or indirectly (including quoted prices for similar securities, interest rates, prepayment speeds, credit risk, etc.). The fair value of the annuity is determined by discounting the related cash flows based on current yields of similar instruments with comparable durations. The Foundation estimates the fair value of the contribution receivable from a beneficial interest in a charitable remainder trust by using an income approach on calculating the present value of the future distributions expected to be received. This approach takes into account the Foundation's determination of an appropriate risk-adjusted discount rate of 7.65% at the date the Trust was established (on November 9, 1994), expected cash flow of the trust's investments, and the life expectancy information published in the IRS Publication 590 (11.40 years at December 31, 2020). The Foundation re-measures the fair value of its beneficial interest in a charitable remainder trust annually and adjusts the measurement inputs based on statements received from the trustee, market conditions and other relevant data.

Level 3 inputs are unobservable inputs for the asset or liability. Investments whose values are classified as Level 3 prices have significant unobservable inputs, as they may trade infrequently or not at all. The fair value of the partnerships is based on monthly statements received from the underlying managers and their administrators, which are not considered observable market inputs. The annuity is not actively traded and significant other observable inputs are not available. Thus, the fair value of the annuity is determined by discounting the related cash flows based on current yields of similar instruments with comparable durations.

Fair values of assets measured on a recurring basis at December 31, 2020 and 2019 are as follows:

		FAIR VALUE MEASUREMENTS AT REPORTING DATE USING		
	FAIR VALUE	QUOTED PRICES IN ACTIVE MARKETS FOR IDENTICAL ASSETS/ LIABILITIES (LEVEL 1)	SIGNIFICANT OTHER OBSERVABLE INPUTS (LEVEL 2)	SIGNIFICANT UNOBSERVABLE INPUTS (LEVEL 3)
December 31, 2020:				
Certificates of deposit	$ 1 397 540	$ -	$ 1 397 540	$ -
Corporate bonds	7 233 158	7 233 158	-	-
Marketable securities	42 303 748	-	42 303 748	-
Partnership	209 356	-	-	209 356
Mutual funds	17 914 954	17 914 954	-	-
Municipal bonds	7 635 111	7 635 111	-	-
Obligations of U.S. agencies	3 824 858	3 824 858	-	-
Annuity	437 474	-	437 474	-
Net receivable from charitable remainder trust	229 277	-	229 277	-
December 31, 2019:				
Certificates of deposit	$ 4 210 123	$ -	$ 4 210 123	$ -
Corporate bonds	6 621 259	6 621 259	-	-
Marketable securities	34 391 396	34 391 396	-	-
Partnership	231 167	-	-	231 167
Mutual funds	14 954 646	14 954 646	-	-
Municipal bonds	6 650 592	6 650 592	-	-
Obligations of U.S. agencies	3 355 144	3 355 144	-	-
Annuity	446 555	-	446 555	-
Net receivable from charitable remainder trust	234 104	-	234 104	-

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED

NOTE 4 - FAIR VALUE MEASUREMENTS - CONTINUED

The following table provides further details of the Level 3 fair value measurements.

	PARTNERSHIP	TOTAL
Balance December 31, 2018	$ 304 161	$ 304 161
Total gains or losses (realized or unrealized) included in net assets	14 882	14 882
Distributions	(87 876)	(87 876)
Purchases	-	-
Sales	-	-
Balance December 31, 2019	231 167	231 167
Total gains or losses (realized or unrealized) included in net assets	20 669	20 669
Distributions	(42 480)	(42 480)
Purchases	-	-
Sales	-	-
Balance December 31, 2020	$ 209 356	$ 209 356

The amount of total gains and (losses) for the year included in change in net assets attributable to the changes in unrealized gains or (losses) relating to assets held at the end of the reporting period amounted to $20,669 and $14,882 at December 31, 2020 and 2019, respectively.

Gains and losses included in statement of activities for the year presented are reported in investment income (loss), net of investment fees.

There were no transfers between Level 1 and Level 2 for the periods presented.

NOTE 5 - CASH VALUE OF LIFE INSURANCE

The Foundation has received life insurance policies on donors, with the understanding that the donors will continue to fund the premiums (for the majority of the Foundation's life insurance policies, the premiums have been paid in full by the donor) and that upon the death of the donor, proceeds will be used for restricted purposes. The total face value of the life insurance policies was $8,054,992 and $7,764,992 for the years ended December 31, 2020 and 2019, respectively. The life insurance policies had cash values of $1,382,590 and $1,256,679 for the years ended December 31, 2020 and 2019, respectively.

NOTE 6 - ANNUITY

In a prior year, the Foundation received the gift of an annuity contract. The Foundation is the owner and beneficiary of the annuity contract. The annuity had a current surrender value of $437,474 and $446,555 for the years ended December 31, 2020 and 2019, respectively. The earnings from the annuity are accumulated into the value of the annuity, until maturity of the annuity. The annuity matures either upon the death of the annuitant, or March 26, 2035, whichever comes first.

The annuity contract was liquidated in 2021, and the proceeds were donated to Stephen F. Austin State University.

NOTE 7 - PROMISES TO GIVE

Unconditional promises to give that are expected to be collected within one year are recorded at net realizable value. Unconditional promises to give that are expected to be collected in future years are recorded at the present value of their estimated future cash flows. The discounts on those amounts are computed using a risk free interest rates from 2.66% to 5.0%. Amortization of the discounts is included in contribution revenue. As of December 31, 2020 and 2019, contributors to the Foundation have made written unconditional promises to give totaling $3,997,561 and $1,136,348, respectively.

Promises to give are due as follows at December 31, 2020:

Less than one year	$ 127 848
One to five years	3 219 879
After five years	1 247 793
Less unamortized discount	(472 181)
Less allowance for uncollectible pledges	(125 778)
	$ 3 997 561

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED

NOTE 8 - CHARITABLE GIFT ANNUITY CONTRACTS

The Foundation issues and manages gift annuity contracts as a means to provide future support for the Foundation's programs. Under these contracts, a donor gives the Foundation assets (typically cash and securities) at the beginning of the contract, and the Foundation makes predetermined periodic payments to the donor and/or a named beneficiary for their lifetime. At the end of the donor's life, the Foundation receives any remaining assets not used in making payments to the donor. In the contract, the donor may specify how the Foundation must use the remaining assets. Consequently, the gift annuity activity has been recorded as net assets with donor restrictions in the accompanying financial statements, and is summarized for the years ended December 31, 2020 and 2019:

	2020	2019
Assets attributed to annuities	$ 555 220	$ 521 795
Less annuities payable	135 778	154 120
NET ASSETS ATTRIBUTED TO ANNUITIES	$ 419 442	$ 367 675
Payments to annuitants	$ 26 150	$ 151 803
Investment earnings on annuity assets	50 507	156 549
NET (INCOME) EXPENSE	(24 357)	(4 746)
Decrease in value of annuities payable	(18 342)	(414 890)
NET ANNUITIES (INCOME) EXPENSE	$ (42 699)	$ (419 636)

The gift annuity obligations require future cash payments of $25,062 per year at December 31, 2020 until maturity. Annuities totaling approximately $11,600 and $407,000 matured during the year ended December 31, 2020 and 2019, respectively.

NOTE 9 - CHARITABLE REMAINDER TRUST

The Foundation has been named as a beneficiary of an irrevocable charitable remainder trust. The trust requires payment of 9.2% annually of the value of trust assets or 100% of trust income, whichever is less, to the beneficiaries for their joint lives. The future cash flows are estimated to be $14,294 per year at December 31, 2020. The fair value of the Trust's assets was $335,490 and $356,376 and the present value of future cash payments was $106,213 and $122,272 at December 31, 2020 and 2019 respectively, resulting in the net receivable of $229,277 and $234,104 at December 31, 2020 and 2019 respectively. All of the amounts under this trust agreement are receivable more than five years after December 31, 2020.

NOTE 10 - TRANSACTIONS WITH STEPHEN F. AUSTIN STATE UNIVERSITY

The University pays substantially all salaries, payroll taxes and employee benefits of the foundation. The University also provides the use of office space and equipment. The value of this support is not considered to be material to the Foundation, and is not reflected in the Foundation's financial statements. Program services payments are made to departments of the University for the benefit of the University and its students and faculty, as captioned in the accompanying statement of activities.

NOTE 11 - NET ASSETS

Net assets consisted of the following at December 31, 2020:

	WITHOUT DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS ENDOWMENTS	TOTAL
Scholarships, academic programs and faculty support	$ -	$ 6 332 891	$ 72 481 407	$ 78 814 298
Gift annuities	-	419 442	-	419 442
Donor designated	-	421 406	-	421 406
Unallocated endowment income	-	-	8 957 516	8 957 516
Endowment Reserves:				
Contingencies	-	3 701 252	-	3 701 252
Inflation	-	-	3 933 005	3 933 005
Interest	-	-	1 105 964	1 105 964
Operations	124 517	-	-	124 517
Foundation operations	494 382	-	-	494 382
TOTAL	$ 618 899	$ 10 874 991	$ 86 477 892	$ 97 971 782

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED

NOTE 11 - NET ASSETS - CONTINUED

Net assets consisted of the following at December 31, 2019:

	WITHOUT DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS ENDOWMENTS	TOTAL
Scholarships, academic programs and faculty support	$ -	$ 4 327 034	$ 57 920 380	$ 62 247 414
Gift annuities	-	367 675	-	367 675
Donor designated	-	1 077 424	-	1 077 424
Unallocated endowment income	-	-	11 017 827	11 017 827
Endowment Reserves:				
Contingencies	-	1 795 533	-	1 795 533
Inflation	-	-	251 044	251 044
Interest	-	-	1 092 688	1 092 688
Operations	101 923	-	-	101 923
Foundation operations	497 932	-	-	497 932
TOTAL	$ 599 855	$ 7 567 666	$ 70 281 939	$ 78 449 460

NOTE 12 - NET ASSETS WITH DONOR RESTRICTIONS RELEASED FROM RESTRICTIONS

Net assets with donor restrictions released from restrictions by the satisfaction of either purpose or time requirements for the years ended December 31, 2020 and 2019 amounted to $2,738,802 and $1,486,899, respectively. Accordingly, the following table summarizes the amounts reclassified from net assets with donor restrictions to net assets without donor restrictions:

	WITHOUT DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS
Satisfaction of Restrictions for 2020:		
Endowment distributions	$ 1 805 154	$ (1 805 154)
Annuities expense	7 808	(7 808)
Designated distributions	248 822	(248 822)
SFASU Alumni Association fee	252 945	(252 945)
Other fund distributions	24 562	(24 562)
Management fees	399 511	(399 511)
TOTAL	$ 2 738 802	$ (2 738 802)
Satisfaction of Restrictions for 2019:		
Endowment distributions	$ 1 311 471	$ (1 311 471)
Annuities expense	(263 087)	263 087
Designated distributions	167 011	(167 011)
SFASU Alumni Association fee	257 696	(257 696)
Other fund distributions	13 808	(13 808)
Management fees	-	-
TOTAL	$ 1 486 899	$ (1 486 899)

NOTE 13 - EQUITY IN LIMITED PARTNERSHIP

The Foundation has a 1% equity interest in a limited partnership that owns rental real estate in Nacogdoches, Texas. Since the Foundation's entire share of net income that is derived through the rental and investment activities is distributed annually, the equity interest is reduced to zero and not shown in the accompanying statement of financial position. The Foundation received $-0- and $375 in rental and investment income for the years ended December 31, 2020 and 2019, respectively. Scholarships of $-0- and $200 were paid from the proceeds for the years ended December 31, 2020 and 2019, respectively.

NOTE 14 - DONOR RECOGNITION AND STEWARDSHIP

Proceeds associated with the Gala (a stewardship event) totaled $40,475, with a cost of $43,283 for the year ended December 31, 2019. The Gala was cancelled in 2020 due to the COVID Pandemic.

NOTE 15 - SIGNIFICANT ESTIMATES AND CONCENTRATIONS

Material estimates relate to the fair value of investments, unconditional promises to give and annuities payable.

The Foundation's financial instruments that are exposed to concentrations of credit risk consist primarily of cash and investments and unconditional promises to give. The Foundation has cash in federally insured banks. These deposits are sometimes in excess of the Federal Deposit Insurance Corporation's insurance limit. One donor comprises over 84% of the value of unconditional promises to give.

NOTE 15 - SIGNIFICANT ESTIMATES AND CONCENTRATIONS - CONTINUED

Investments are managed by professional investment management companies based on recommendations by the Foundation's finance committee. Each investment manager is subject to the Foundation's investment policy, approved by the Board of Trustees, which contains objectives, guidelines and restrictions designed to provide for preservation of capital with an emphasis on providing current income and achieving long-term growth of the funds without undue exposure to risk. Certain funds have been pooled for ease of management and to achieve greater diversification in investments.

Financial instruments that potentially subject the Fund to concentrations of interest and market risk consist of investments. These investments are subject to market fluctuations which affect the fair value of the investment.

NOTE 16 - ENDOWMENTS

The Foundation's endowments consist only of donor-restricted endowment funds which the earnings are to be used to pay scholarships to students and to provide support for faculty and academic programs of Stephen F. Austin State University. As required by accounting principles generally accepted in the United States of America (GAAP), net assets associated with endowment funds are classified and reported based on the existence or absence of donor-imposed restrictions.

Interpretation of Relevant Law

Absent explicit donor stipulations to the contrary, the Board of Trustees of the Foundation has interpreted the State Prudent Management of Institutional Funds Act (SPMIFA) as requiring the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds. As a result of this interpretation, the Foundation retains in perpetuity and classifies as net assets with donor restrictions (a) the original value of gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment, and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund. The remaining portion of the donor-restricted endowment fund that is not retained in perpetuity are subject to appropriation for expenditure by the Foundation in a manner consistent with the standard of prudence prescribed by SPMIFA. In accordance with SPMIFA, the Foundation considers the following factors in making a determination to appropriate or accumulate donor-restricted endowment funds: (1) the duration and preservation of the various funds, (2) the purposes of the donor-restricted endowment funds, (3) general economic conditions, (4) the possible effect on inflation and deflation, (5) the expected total return from income and appreciation of investments, (6) other resources of the Foundation, and (7) the Foundation's investment policies.

Investment Return Objectives and Risk Parameters

The Foundation has adopted investment and spending policies, approved by the Board of Trustees, for endowment assets. Those policies attempt to provide a predictable stream of funding to programs supported by its endowment funds while seeking to maintain the purchasing power of those endowment assets over the long-term. Endowment assets include those assets of donor-restricted funds that the Foundation must hold to perpetuity. Under this policy, approved by the Board of Trustees, the performance of the total portfolio and each asset is monitored by an Investment Consultant and reported to the Investment Committee each month. Quarterly reports are made to the Board that includes a comparison of the total portfolio and each asset class to appropriate benchmarks. Performance goals are based upon a long-term investment horizon; therefore, interim variations should be expected.

Investment Strategies Employed for Achieving Objectives

To satisfy its long-term rate-of-return objectives, the Foundation relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized) and current yield (interest and dividends). The Foundation targets a diversified asset allocation to achieve its long-term return objectives within prudent risk constraints.

Spending Policy

The Foundation has a policy of appropriating for distribution each year up to 5% of its endowment fund’s fair value at the end of the calendar year-end preceding the year in which the distribution is planned. In establishing this policy, the Foundation considers the long-term expected return on its investment assets, the nature and duration of the individual endowment funds, many of which must be maintained in perpetuity because of donor restrictions, and the possible effect of inflation. The Foundation expects the current spending policy to allow its endowment funds to grow. This is consistent with the Foundation’s objective to maintain the purchasing power of the endowment assets as well as provide additional real growth through new gifts and investment return.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED

NOTE 16 - ENDOWMENTS - CONTINUED

Funds with Deficiencies

From time to time, certain donor-restricted endowment funds may have fair values that are less than the amount required to be maintained by donors or by law (underwater endowments). The Foundation has interpreted UPMIFA to permit spending from underwater endowments in accordance with prudent measures required by law. At December 31, 2020 and 2019, funds with deficit balances were as follows:

	2020	2019
Original gift value	$ 17 390 469	$ 47 761 649
Fair value of gifts	14 592 505	41 807 796
Deficiencies	$ (2 797 964)	$ (5 953 853)
Expenditures from underwater endowments	$ 321 111	$ 1 055 708

NOTE 17 - LIQUIDITY

The Foundation's primary liquidity resources is income from investments. The following reflects the Foundation's financial assets as of December 31, 2020 and 2019, reduced by amounts not available for general use within one year because of contractual or donor-imposed restrictions or internal designations.

	2020	2019
Financial assets, at end of year	$ 98 169 362	$ 78 641 137
Less those Unavailable for General Expenditures Within One Year Due to Contractual or Donor Imposed Restrictions:		
Contractual or Donor Imposed Restrictions:		
Annuities payable	(135 778)	(154 120)
Endowment fund	(97 352 883)	(77 849 605)
FINANCIAL ASSETS AVAILABLE TO MEET CASH NEEDS FOR GENERAL EXPENDITURES WITHIN ONE YEAR	$ 680 701	$ 637 412

ADDITIONAL INFORMATION

AXLEY&RODE LLP
CERTIFIED PUBLIC ACCOUNTANTS

INDEPENDENT AUDITORS' REPORT ON ADDITIONAL INFORMATION

To the Trustees
Stephen F. Austin State University
Foundation, Inc.
Nacogdoches, Texas

We have audited the financial statements of Stephen F. Austin State University Foundation, Inc. as of December 31, 2020, and for the year then ended, and our report thereon dated October 21, 2021 which expressed an unmodified opinion on those financial statements, appears on page 3. Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The combining information on pages 21 through 24 is presented for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

Axley & Rode LLP
CERTIFIED PUBLIC ACCOUNTANTS

Lufkin, Texas
October 21, 2021

www.axleyrode.com

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
COMBINED STATEMENT OF FINANCIAL POSITION
December 31, 2020

	UNIVERSITY FOUNDATION	ALUMNI FOUNDATION	COMBINED
ASSETS			
Cash and cash equivalents	$ 250 499	$ 12 714	$ 263 213
Other receivables	(324 299)	324 299	-
Accrued interest receivable	70 438	42 884	113 322
Unconditional promises to give	3 874 123	123 438	3 997 561
Annuity	-	437 474	437 474
Net receivable from charitable remainder trust	229 277	-	229 277
Investments (At Fair Value):			
Cash and short-term investments	9 025 891	2 201 309	11 227 200
Certificates of deposit	1 397 540	-	1 397 540
Corporate bonds	4 488 121	2 745 037	7 233 158
Marketable securities	26 188 763	16 114 985	42 303 748
Publicly traded partnerships	-	209 356	209 356
Mutual funds	11 291 239	6 623 715	17 914 954
Obligations of U.S. Agencies	2 427 426	1 397 432	3 824 858
Municipal bonds	4 734 231	2 900 880	7 635 111
Cash value of life insurance	1 322 521	60 069	1 382 590
TOTAL ASSETS	$ 64 975 770	$ 33 193 592	$ 98 169 362
LIABILITIES AND NET ASSETS			
Liabilities:			
Accounts payable	$ 61 802	$ -	$ 61 802
Annuities payable	135 778	-	135 778
TOTAL LIABILITIES	197 580	-	197 580
Net Assets:			
Without donor restrictions	618 899	-	618 899
With donor restrictions	64 159 291	33 193 592	97 352 883
TOTAL NET ASSETS	64 778 190	33 193 592	97 971 782
TOTAL LIABILITIES AND NET ASSETS	$ 64 975 770	$ 33 193 592	$ 98 169 362

See independent auditors' report.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
COMBINED STATEMENT OF ACTIVITIES
For the Year Ended December 31, 2020

	UNIVERSITY FOUNDATION	ALUMNI FOUNDATION	COMBINED
Revenue and Other Support:			
Contributions and gifts	$ 12 476 103	$ 182 830	$ 12 658 933
Royalty income	-	25 742	25 742
Change in cash value of life insurance	121 745	4 166	125 911
Change in value of annuity	-	(9 081)	(9 081)
TOTAL REVENUE AND OTHER SUPPORT	12 597 848	203 657	12 801 505
Investment earnings, net of fees	4 486 937	4 955 844	9 442 781
Transfers	889 040	(889 040)	-
TOTAL REVENUES	17 973 825	4 270 461	22 244 286
Expenses:			
Distribution of endowment earnings	1 479 593	598 946	2 078 539
Annuities expense	7 808	-	7 808
Cost of activities and events	18 517	-	18 517
SFASU Alumni Association fee	-	252 945	252 945
Cost of donor software	5 745	-	5 745
University capital campaign support	290 656	-	290 656
Legal and accounting fees	55 105	-	55 105
Travel and conferences	1 508	-	1 508
Supplies, postage and bank fees	2 229	-	2 767
Other expenses	8 912	-	8 912
TOTAL EXPENSES	1 870 073	851 891	2 721 964
CHANGE IN NET ASSETS	$ 16 103 752	$ 3 418 570	$ 19 522 322

See independent auditors' report.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
COMBINED STATEMENT OF FINANCIAL POSITION
December 31, 2019

	UNIVERSITY FOUNDATION	ALUMNI FOUNDATION	COMBINED
ASSETS			
Cash and cash equivalents	$ 188 199	$ 23 480	$ 211 679
Other receivables	(278 053)	291 853	13 800
Accrued interest receivable	70 876	49 308	120 184
Unconditional promises to give	969 416	166 932	1 136 348
Annuity	-	446 555	446 555
Net receivable from charitable remainder trust	234 104	-	234 104
Investments (At Fair Value):			
Cash and short-term investments	4 092 025	715 436	4 807 461
Certificates of deposit	4 210 123	-	4 210 123
Corporate bonds	3 777 741	2 843 518	6 621 259
Marketable securities	19 844 902	14 546 494	34 391 396
Publicly traded partnerships	231 167	-	231 167
Mutual funds	8 744 038	6 210 608	14 954 646
Obligations of U.S. Agencies	1 794 482	1 560 662	3 355 144
Municipal bonds	3 786 319	2 864 273	6 650 592
Cash value of life insurance	1 200 776	55 903	1 256 679
TOTAL ASSETS	$ 48 866 115	$ 29 775 022	$ 78 641 137
LIABILITIES AND NET ASSETS			
Liabilities:			
Accounts payable	$ 30 057	$ -	$ 30 057
Annuities payable	154 120	-	154 120
Other liabilities	7 500	-	7 500
TOTAL LIABILITIES	191 677	-	191 677
Net Assets:			
Without donor restrictions	599 855	-	599 855
With donor restrictions	48 074 583	29 775 022	77 849 605
TOTAL NET ASSETS	48 674 438	29 775 022	78 449 460
TOTAL LIABILITIES AND NET ASSETS	$ 48 866 115	29 775 022	78 641 137

See independent auditors' report.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
COMBINED STATEMENT OF ACTIVITIES
For the Year Ended December 31, 2019

	UNIVERSITY FOUNDATION	ALUMNI FOUNDATION	COMBINED
Revenue and Other Support:			
Contributions and gifts	$ 4 272 119	$ 154 889	$ 4 427 008
Royalty income	-	27 996	27 996
Change in cash value of life insurance	41 761	4 184	45 945
TOTAL REVENUE AND OTHER SUPPORT	4 313 880	187 069	4 500 949
Investment earnings, net of fees	6 510 908	4 937 323	11 448 231
Transfers	31 260	(31 260)	-
TOTAL REVENUE	10 856 048	5 093 132	15 949 180
Expenses:			
Distribution of endowment earnings	1 221 320	270 970	1 492 290
Annuities expense	(263 087)	-	(263 087)
Cost of activities and events	69 957	-	69 957
SFASU Alumni Association fee	-	257 696	257 696
Cost of donor software	6 292	-	6 292
University capital campaign support	143 210	-	143 210
Legal and accounting fees	54 640	-	54 640
Travel and conferences	6 178	-	6 178
Supplies, postage and bank fees	4 496	-	4 496
Other expenses	4 150	-	4 150
TOTAL EXPENSES	1 247 156	528 666	1 775 822
CHANGE IN NET ASSETS	$ 9 608 892	$ 4 564 466	$ 14 173 358

See independent auditors' report.

SFA REAL ESTATE FOUNDATION, INC.
Nacogdoches, Texas

ANNUAL FINANCIAL REPORT

December 31, 2016

AXLEY&RODE LLP
CERTIFIED PUBLIC ACCOUNTANTS

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AXLEY&RODE LLP
CERTIFIED PUBLIC ACCOUNTANTS

INDEPENDENT AUDITORS' REPORT

Members of the Board of Trustees of
SFA Real Estate Foundation, Inc.

We have audited the accompanying financial statements of SFA Real Estate Foundation, Inc., (a nonprofit organization) which comprise the statement of financial position as of December 31, 2016, and the related statements of activities and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

The Foundation's management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosure in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of SFA Real Estate Foundation, Inc. at December 31, 2016, and the changes in its net assets and its cash flows for the year then ended, in conformity with accounting principles generally accepted in the United States of America.

Axley & Rode LLP
CERTIFIED PUBLIC ACCOUNTANTS

Lufkin, Texas
February 20, 2018

www.axleyrode.com

SFA REAL ESTATE FOUNDATION, INC.
STATEMENT OF FINANCIAL POSITION
December 31, 2016

ASSETS

Cash and cash equivalents	$ 161 778
Real estate	6 272 530
TOTAL ASSETS	$ 6 434 308

LIABILITIES AND NET ASSETS

Liabilities:	
Other liabilities	$ -
TOTAL LIABILITIES	-
Net Assets:	
Unrestricted	-
Temporarily restricted	312 408
Permanently restricted	6 121 900
TOTAL NET ASSETS	6 434 308
TOTAL LIABILITIES AND NET ASSETS	$ 6 434 308

The accompanying notes are an integral part of this financial statement.

SFA REAL ESTATE FOUNDATION, INC.
STATEMENT OF ACTIVITIES
For the Year Ended December 31, 2016

	UNRESTRICTED	TEMPORARILY RESTRICTED	PERMANENTLY RESTRICTED	TOTAL
Revenue and Other Support:				
Contributions and gifts	$ -	$ 600	$ -	$ 600
Timber sales	-	96 638	-	96 638
Lease income, net	-	29 594	-	29 594
Net assets released from restrictions	185 031	(185 031)	-	-
TOTAL REVENUE AND OTHER SUPPORT	185 031	(58 199)	-	126 832
Expenses:				
Program Services:				
Distributions to Stephen F. Austin State University	164 761	-	-	164 761
Forestry maintenance	14 734	-	-	14 734
Repairs	2 925	-	-	2 925
Insurance	1 461	-	-	1 461
TOTAL PROGRAM SERVICES	183 881	-	-	183 881
Support Services:				
Accounting	1 150	-	-	1 150
TOTAL SUPPORT SERVICES	1 150	-	-	1 150
TOTAL EXPENSES	185 031	-	-	185 031
CHANGE IN NET ASSETS	-	(58 199)	-	(58 199)
Net assets, beginning	-	370 607	6 121 900	6 492 507
NET ASSETS, ENDING	$ -	$ 312 408	$ 6 121 900	$ 6 434 308

The accompanying notes are an integral part of this financial statement.

SFA REAL ESTATE FOUNDATION, INC.
STATEMENT OF CASH FLOWS
For the Year Ended December 31, 2016

Cash Flows from Operating Activities:	
Change in net assets	$ (58 199)
Adjustments to Reconcile Increase (Decrease) in Net Assets to Cash Provided by Operating Activities:	
Realized loss on sale of real estate	-
NET CASH USED BY OPERATING ACTIVITIES	(58 199)
NET DECREASE IN CASH AND CASH EQUIVALENTS	(58 199)
Cash and cash equivalents, beginning	219 977
CASH AND CASH EQUIVALENTS, ENDING	$ 161 778

The accompanying notes are an integral part of this financial statement.

SFA REAL ESTATE FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS
December 31, 2016

NOTE 1 - ORGANIZATION AND OPERATION

The SFA Real Estate Foundation, Inc. (Foundation) was incorporated in 1977 to advance education through financial support of Stephen F. Austin State University (University) in Nacogdoches, Texas by creating a vehicle to accept donations of real estate that the income generated from will be used to support the goals and needs of the faculty and students of the University. The Foundation has fulfilled its purpose by distributing funds for student scholarships, faculty salary supplements, academic programs and also promoting the University among interested parties.

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The following is a summary of the Foundation's significant accounting and reporting policies:

Basis of Accounting:

The accompanying financial statements have been prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America (GAAP) as applied to non-profit organizations.

Financial Statement Presentation:

In accordance with GAAP the net assets and all balances and transactions are presented based on the existence or absence of donor imposed restrictions. Accordingly, the net assets of the Foundation and changes therein are classified and reported as follows:

Unrestricted Net Assets - Net assets not subject to donor-imposed restrictions. These are operating funds available for any purpose authorized by the Board of Trustees.

Temporarily Restricted Net Assets - Net assets subject to donor-imposed stipulations that will be met either by actions of the Foundation and/or passage of time.

Permanently Restricted Net Assets - Net assets subject to donor-imposed stipulations that they be maintained permanently by the Foundation. Generally, the donors of these assets permit the Foundation to use all or part of the income earned on related investments for general or specific purposes. These are endowment funds in which the corpus (principal) cannot be obligated or used, but the earnings must be used for purposes specified by donor. Investment earnings on endowments are considered temporarily restricted.

Net Assets Released from Restrictions:

When a donor restriction is accomplished, temporarily restricted net assets are reclassified to unrestricted net assets and reported in the statement of activities as net assets released from restrictions.

Use of Estimates:

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues, expenses, gains, losses and other changes in net assets during the reported period. Actual results could differ from those estimates.

SFA REAL ESTATE FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED
December 31, 2016

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - CONTINUED

Contributions:

Contributions are recognized when the donor makes a promise to give to the Foundation that is unconditional. Contributions that are restricted by the donor are reported as increases in unrestricted net assets if the restrictions expire in the fiscal year in which the contributions are recognized. All other donor-restricted support is reported as an increase in temporarily or permanently restricted net assets, depending on the nature of the restrictions.

Unconditional contributions are recognized as revenues in the period received. Conditional contributions are recorded as deferred revenue when received and recognized as income in the period that the conditions are substantially met.

Cash and Cash Equivalents:

For purposes of the Statement of Cash Flows, the Foundation considers all highly liquid investments with an initial maturity of three months or less to be cash equivalents.

Donated Assets:

Noncash donations are recorded as contributions at their fair value at the date of donation.

Real Estate Investments:

Real estate investments are reported at the lower of cost or fair value. Cost is determined as fair value at date of contribution. Fair values are obtained from certified appraisals or the various Appraisal Districts that value the real estate each year for municipalities.

Realized gains and losses are determined using the specific identification method.

Declines in the aggregate fair value (that is, the fair value of the entire real estate investment portfolio) are recognized in the statement of activities if the aggregate fair value is less than the aggregate carrying value. Recoveries of aggregate fair value in subsequent periods are recognized up to the original cost of the investment.

Allocation of Expenses:

The costs of providing various programs and other activities have been summarized on a functional basis in the statement of activities and in the statement of functional expenses. Expenses which directly benefit a specific program are charged to the program benefited. Certain other costs benefit more than one program and accordingly are allocated to the various programs and supporting services benefited.

Federal Income Tax:

The Foundation is a not for profit organization that is exempt from Federal income taxes under Section 501(c)(3) of the Internal Revenue Code. In addition, the Internal Revenue service has determined that the foundation is not a "private foundation" within the meaning of Section 509(a) and qualifies for deductible contributions as provided in Section 170(b)(1)(A)(vi) Form 990 is filed annually.

SFA REAL ESTATE FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED
December 31, 2016

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - CONTINUED

Contributed Facilities and Services:

The Foundation receives the benefit of donated services and facilities. Donated services and facilities have not been recorded as revenue or expenses because the amount is not considered material to these financial statements.

Uncertain Tax Positions:

The Financial Accounting Standards Board FASB Codification Section 740 requires recognition, measurement and disclosure of uncertain tax positions. The Foundation currently accounts for uncertain tax positions based on the estimated likelihood of assessment and has not determined that any tax positions require an accrual based on current standards of accounting. The Foundation is generally no longer subject to Federal tax examinations for years before 2013.

Subsequent Events:

Management has evaluated subsequent events through February 20, 2018, the date the financial statements were available to be issued.

NOTE 3 - TRANSACTIONS WITH STEPHEN F. AUSTIN STATE UNIVERSITY

The University pays all salaries, payroll taxes and employee benefits of the Foundation. The University also provides the use of office space and equipment. The value of this support is not considered to be material to the Foundation, and is not reflected in the Foundation's financial statements. Program services payments are made to departments of the University for the benefit of the University and its students and faculty, as captioned in the accompanying statement of activities.

NOTE 4 - NET ASSETS

Net assets consisted of the following at December 31, 2016:

	UNRESTRICTED	TEMPORARILY RESTRICTED	PERMANENTLY RESTRICTED	TOTAL
Scholarships, academic programs and faculty support	$ -	$ 312 408	$ 6 121 900	$ 6 434 308
TOTAL	$ -	$ 312 408	$ 6 121 900	$ 6 434 308

Certain real estate investments were contributed to the Foundation pursuant to a Carbon Sequestration Agreement. The agreement requires the Foundation to hold the real estate for perpetuity. Any net profits generated by the management of the forest are to be used for scholarships, research, or educational programs (including carbon sequestration) solely in the Author Temple College of Forestry at Stephen F. Austin State University.

NOTE 5 - TEMPORARILY RESTRICTED NET ASSETS RELEASED FROM RESTRICTIONS

Temporarily restricted net assets released from restrictions by the satisfaction of either purpose or time requirements for the years ended December 31, 2016 amounted to $185,031. Accordingly, the following table summarizes the amounts reclassified from temporarily restricted net assets to unrestricted net assets:

	UNRESTRICTED	TEMPORARILY RESTRICTED
Satisfaction of Restrictions for 2016:		
Endowment distributions	$ 164 761	$ (164 761)
Operating expense distributions	20 270	(20 270)
TOTAL	$ 185 031	$ (185 031)

SFA REAL ESTATE FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED
December 31, 2016

NOTE 6 - SIGNIFICANT ESTIMATES AND CONCENTRATIONS

Material estimates relate to the fair value of real estate investments. Real estate investment fair values are based on independent third-party appraisals and values from Appraisal Districts. The Foundation's financial instruments that are exposed to concentrations of credit risk consist primarily of cash. The Foundation has cash in federally insured banks.

NOTE 7 - ENDOWMENTS

The Foundation's endowments consist only of donor-restricted real estate investments which the net profits are to be used to pay scholarships to students and to provide support for faculty and academic programs of Stephen F. Austin State University. As required by GAAP, net assets associated with endowment funds are classified and reported based on the existence or absence of donor-imposed restrictions.

Interpretation of Relevant Law

The Board of Trustees of the Foundation has interpreted the State Prudent Management of Institutional Funds Act (SPMIFA) as requiring the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. As a result of this interpretation, the Foundation classifies as permanently restricted net assets (a) the original value of gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment, and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund. The remaining portion of the donor-restricted endowment fund that is not classified in permanently restricted net assets is classified as temporarily restricted net assets until those amounts are appropriated for expenditure by the organization in a manner consistent with the standard of prudence prescribed by SPMIFA.

Funds with Deficiencies

From time to time, the fair value of the assets associated with the individual donor restricted endowment funds may fall below the level that the donor requires the Foundation to retain as a fund of perpetual duration. The Foundation did not have any deficiencies of this nature that would be required to be reported in unrestricted net assets for the years presented.

Return Objectives and Risk Parameters

The Foundation's endowment assets consist of real estate investments that were donated pursuant to a Carbon Sequestration Agreement. The Agreement requires the Arthur Temple College of Forestry (ATCOF) to serve as management supervisor of the real estate. Endowment assets include those assets of donor-restricted funds that the Foundation must hold to perpetuity. Any net profits the Foundation generates from the management of the forest will be used for scholarships, research, or educational programs (including carbon sequestration) solely in the ATCOF.

FINANCIAL STATEMENTS
WITH
INDEPENDENT AUDITORS' REPORT

STEPHEN F. AUSTIN STATE UNIVERSITY
ALUMNI ASSOCIATION, INC.
Nacogdoches, Texas

June 30, 2021 and 2020

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AXLEY&RODE LLP
CERTIFIED PUBLIC ACCOUNTANTS

INDEPENDENT AUDITORS' REPORT

Board of Directors
Stephen F. Austin State University
Alumni Association, Inc.
Nacogdoches, Texas

We have audited the accompanying financial statements of Stephen F. Austin State University Alumni Association, Inc. (the Association) (a nonprofit organization), which comprise the statements of financial position as of June 30, 2021 and 2020, and the related statements of activities, functional expenses and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the consolidated financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Stephen F. Austin State University Alumni Association, Inc. as of June 30, 2021 and 2020, and the changes in its net assets and cash flows for the years then ended, in accordance with accounting principles generally accepted in the United States of America.

Axley & Rode LLP
CERTIFIED PUBLIC ACCOUNTANTS

Lufkin, Texas
September 17, 2021

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
STATEMENTS OF FINANCIAL POSITION

	JUNE 30, 2021	JUNE 30, 2020
ASSETS		
Cash and Cash Equivalents:		
Cash in banks	$ 226 860	$ 131 375
Money market funds	142 280	266 037
TOTAL CASH AND CASH EQUIVALENTS	369 140	397 412
Accounts receivable - SFASU Foundation	-	2 106
Accounts receivable - Other	-	29 343
Accrued interest receivable	1 317	1 338
Prepaid expenses	1 242	456
Long-term investments (at fair value)	2 465 104	2 029 426
Furniture and Equipment:		
Furniture	56 705	56 705
Vehicles	10 200	10 200
Accumulated depreciation	(39 281)	(29 194)
NET FURNITURE AND EQUIPMENT	27 624	37 711
Other Assets:		
Cash and cash equivalents restricted by donors	11 898	22 199
Cash value of life insurance	109 546	106 095
TOTAL OTHER ASSETS	121 444	128 294
TOTAL ASSETS	$ 2 985 871	$ 2 626 086
LIABILITIES AND NET ASSETS		
Accounts payable	$ 43 046	$ 162 569
Due to SFASU Foundation	-	28 594
Unearned revenue	125 750	126 473
Other liabilities	-	2 844
TOTAL LIABILITIES	168 796	320 480
Net Assets:		
Without donor restrictions - Undesignated	243 738	(256 214)
Without donor restrictions - Board designated	1 652 462	1 634 095
With donor restrictions	920 875	927 725
TOTAL NET ASSETS	2 817 075	2 305 606
TOTAL LIABILITIES AND NET ASSETS	$ 2 985 871	$ 2 626 086

The accompanying notes are an integral part of these financial statements.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
STATEMENTS OF ACTIVITIES
For the Year Ended June 30, 2021 and 2020

	2021	2020
Changes in Net Assets Without Donor Restrictions:		
Revenues:		
Membership dues	$ 79 674	$ 80 700
Contributions	51 399	71 888
Affinity programs	92 044	109 153
Fund raising events	86 377	101 478
Management fee from SFASU Foundation	248 826	258 599
Sale of advertising in Sawdust Magazine	4 700	5 400
Sale of merchandise	8 361	9 053
Loss on equipment	-	(772)
Other income	-	6 910
TOTAL REVENUES	571 381	642 409
Investment income net of investment fees	454 591	(26 343)
TOTAL REVENUES AND GAINS	1 025 972	616 066
Net assets released from donor restrictions	926	5 076
TOTAL REVENUES, GAINS AND OTHER SUPPORT WITHOUT DONOR RESTRICTIONS	1 026 898	621 142
Expenses:		
Program services	360 455	476 908
Supporting services	95 931	128 249
Fund raising	52 193	197 268
TOTAL EXPENSES	508 579	802 425
CHANGE IN NET ASSETS WITHOUT DONOR RESTRICTIONS	518 319	(181 283)
Changes in Net Assets With Donor Restrictions:		
Fund raising events	(9 375)	6 971
Change in cash value of life insurance	3 451	3 231
Net assets released from restrictions	(926)	(5 076)
CHANGE IN NET ASSETS WITH DONOR RESTRICTION	(6 850)	5 126
INCREASE (DECREASE) IN NET ASSETS	511 469	(176 157)
Net assets, beginning of year	2 305 606	2 481 763
NET ASSETS, END OF YEAR	$ 2 817 075	$ 2 305 606

The accompanying notes are an integral part of these financial statements.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
STATEMENTS OF FUNCTIONAL EXPENSES
For the Years Ended June 30, 2021 and 2020

	2021	2020
Program Services:		
Salaries and benefits	$ 290 833	$ 322 027
Travel	7 230	27 547
Publication costs	14 576	57 074
Promotional expenses	11 165	23 536
Alumni website	21 662	21 913
Contributions and sponsorships	12 794	13 709
Other	2 195	11 102
TOTAL PROGRAM SERVICES	360 455	476 908
Supporting Services:		
Office expense	20 129	26 713
Merchandise cost	5 085	4 350
Postage and shipping	13 069	17 835
Telephone	1 800	10 382
Depreciation	10 087	7 885
Professional fees	20 865	28 939
Computer expense	8 855	13 144
Other	16 041	19 001
TOTAL SUPPORTING SERVICES	95 931	128 249
Fund Raising:		
Membership drive	1 015	2 467
Big dip and SFA ring week	12 905	4 420
Charter Chapter and LPN expenses	2 385	36 077
Fan bus	-	7 516
Tailgating	3 302	60 232
Senior send off	3 834	7 367
Tuition raffle	10 751	16 887
Homecoming expenses	7 698	20 165
Alumni awards	-	17 195
Other fund raising expenses	10 303	24 942
TOTAL FUND RAISING	52 193	197 268
TOTAL EXPENSES	$ 508 579	$ 802 425

The accompanying notes are an integral part of these financial statements.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
STATEMENTS OF CASH FLOWS

	FOR THE YEARS ENDED JUNE 30, 2021	2020
Cash Flows from Operating Activities:		
Change in net assets	$ 511 469	$ (176 157)
Adjustments to Reconcile Net Changes in Net Assets to Cash Provided by Operating Activities:		
Loss (gain) on sale of investments	(81 890)	(28 484)
Loss on disposal of equipment	-	772
Unrealized (gains) losses on investments	(327 318)	111 811
Depreciation expense	10 087	7 885
Add (Subtract) Changes in Accounts:		
Prepaid expenses	(786)	1 494
Cash value of life insurance	(3 451)	(3 231)
Annuities	6 769	(3 421)
Accounts receivable	31 449	132 327
Accrued interest receivable	21	466
Accounts payable	(150 961)	118 437
Due to SFA Alumni Foundation	-	19 839
Unearned income	(723)	126 473
NET CASH PROVIDED (USED) BY OPERATING ACTIVITIES	(5 334)	308 211
Cash Flows from Investing Activities:		
Proceeds from sale or maturity of investments	838 836	1 614 215
Purchases of investments	(872 075)	(1 554 855)
Purchase of furniture and equipment	-	(31 286)
NET CASH PROVIDED (USED) BY INVESTING ACTIVITIES	(33 239)	28 074
NET INCREASE (DECREASE) IN CASH AND CASH EQUIVALENTS	(38 573)	336 285
Cash and cash equivalents at beginning of year	419 611	83 326
CASH AND CASH EQUIVALENTS AT END OF YEAR	$ 381 038	$ 419 611

The Association has the following line items on the statement of financial position as of June 30, 2021 and 2020:

	2021	2020
Cash and cash equivalents	$ 369 140	$ 397 412
Cash and cash equivalents restricted by donors	11 898	22 199
	$ 381 038	$ 419 611

The accompanying notes are an integral part of these financial statements.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
NOTES TO FINANCIAL STATEMENTS

NOTE A - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Activities:

Stephen F. Austin State University Alumni Association (the "Association") is a Texas not-for-profit corporation organized to assist in promoting the welfare of Stephen F. Austin State University (the University) in Nacogdoches, Texas. The Association accomplishes its mission by maintaining lines of communication with former University students, publishing, and distributing the informative "Sawdust" magazine, encouraging alumni to give students priority in the hiring process, encouraging endowment and other gifts to the Alumni Foundation which provide scholarships and other aid to students and faculty, sponsoring programs that recognize the accomplishments of current and former students, and sponsoring events and receptions. Major sources of support include contributions, membership dues, fund-raising events, investment income, and affinity programs.

Basis of Accounting:

These financial statements are presented on the accrual basis of accounting, in accordance with U.S. generally accepted accounting principles for not-for-profit organizations.

Basis of Presentation:

The Association reports information regarding its financial position and activities according to two classes of net assets that are based upon the existence or absence of restrictions on use that are placed by its donors: net assets without donor restrictions and net assets with donor restrictions.

The governing board has designated, from net assets without donor restrictions, net assets for a board-designated endowment. Net assets with donor restrictions are subject to donor-imposed restrictions. Some donor-imposed restrictions are temporary in nature, such as those that will be met by the passage of time or other events specified by the donor. Other donor-imposed restrictions are perpetual in nature, such as those the donor stipulates that resources by maintained to perpetuity.

Net assets without donor restrictions are resources available to support operations and not subject to donor restrictions. The only limits on the use of net assets without donor restrictions are the broad limits resulting from the nature of the Association, the environment in which it operates, the purposes specified in its corporate documents and its application for tax-exempt status.

Net assets with donor restrictions are resources that are subject to donor-imposed restrictions. Some restrictions are temporary in nature, such as those that are restricted by a donor for use for a particular purpose or in a particular future period. Other restrictions may be perpetual in nature, such as those that are restricted by a donor that the resources by maintained in perpetuity.

The Association's donor-restricted endowment funds are classified in net assets with donor restrictions. When a donor's restriction is satisfied, either by using the resources in the manner specified by the donor or by the passage of time, the expiration of the restriction is reported in the financial statements by reclassifying the net assets from net asset with donor restrictions to net assets without donor restrictions.

Fixed Assets and Depreciation:

In accordance with generally accepted accounting principles for nonprofit organizations, expenditures for the acquisition of furniture and equipment are capitalized at cost. Depreciation is computed by the straight-line method over estimated useful lives, which range from three to ten years.

Use of Estimates:

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses and gains and losses during the reporting period. Actual results could differ from those estimates.

Cash and Cash Equivalents:

For purposes of the cash flow statement, the Association considers all investments with original maturities of less than three months to be cash equivalents, as well as cash in bank and money market funds.

Accounts Receivable:

Accounts receivable consists of amounts due from affinity programs and is stated at unpaid balances. It is the Association's policy to charge off uncollectible accounts receivable when management determines the receivable will not be collected. Amounts were determined to be collectible at June 30, 2021 and 2020.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
NOTES TO FINANCIAL STATEMENTS - CONTINUED

NOTE A - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - CONTINUED

Federal Income Tax:

The Internal Revenue Service has determined that the Association is exempt from Federal income tax under Section 501(c)(3) of the Internal Revenue Code. In addition, the Service has determined that the Association is not a "private foundation" within the meaning of Section 509(a) of the Internal Revenue Code. Form 990 is filed annually.

Investments:

Investments in marketable equity securities and debt securities are stated at fair value. Fair values are determined by reference to quoted market prices. Realized gains and losses are determined using the specific identification method for investments in marketable debt securities, and the first-in, first-out (FIFO) method is used for mutual fund and marketable equity securities. Donated investments are recorded at fair value at the time received. Unrealized gains and losses are included in the change in net assets as part of investment income net of investment fees in the accompanying statement of activities. Investments in annuity and life insurance contracts are carried at cost, and adjusted annually for guaranteed increases in net surrender values. Investment income is accrued as earned and reported net of investment advisory fees.

The Association has significant exposure to a number of risks including interest, market and credit risks for its investment securities. Due to the level of risk exposure, it is possible that near-term valuation changes for investment securities may occur to an extent that could materially affect the amounts reported in the financial statements.

Fair Value Measurements:

Current professional standards define fair value as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. Fair value should be based on assumptions that market participants would use, including a consideration of non-performance risk. Management assesses the inputs used to measure fair value using a three-tier hierarchy based on the extent to which inputs used in measuring fair value are observable in the market. Level 1 inputs are quoted market prices for identical instruments in an active market that the entity has the ability to access and are the most observable. Level 2 inputs include quoted market prices for similar assets and observable inputs such as interest rates, currency exchange rates, commodity rates, and yield curves. Level 3 inputs are not observable in the market and include management's judgments about the assumptions market participants would use in pricing the asset or liability.

Affinity Programs:

Income from the affinity programs is recognized in the period earned.

Compensated Absences:

The Association allows full-time employees to accumulate vacation leave and comp time. The Association is billed by the University annually for the Association's portion of compensated absences. Since the Association pays the liability annually, there was no liability for compensated absences at June 30, 2021. The cost of compensated absences is recognized as salaries and benefits.

Advertising:

The Association expenses all advertising costs when incurred. For 2021 and 2020, advertising and community relations expenses amounted to $11,165 and $23,536, respectively.

Uncertain Tax Positions:

FASB Codification Section 740 requires recognition, measurement and disclosure of uncertain tax positions. The Association accounts for uncertain tax positions based on the estimated likelihood of assessment and have not determined that any tax positions require an accrual based on current standards of accounting. The Association is generally no longer subject to Federal tax examinations for years before 2017.

Subsequent Events:

Management has evaluated subsequent events through September 17, 2021, the date of the financial statements were available to be issued.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
NOTES TO FINANCIAL STATEMENTS - CONTINUED

NOTE C - INVESTMENTS

The Association maintains a pool of investments that includes investments designated for life memberships, affinity card advances, and awards endowments. All realized and unrealized earnings of the investment pool are considered unrestricted. The portfolio is summarized as follows:

	COST	MARKET VALUE
Investments at June 30, 2021:		
U.S. Government securities	$ 192 139	$ 194 265
Corporate bonds	101 951	103 641
Marketable equity securities	570 635	684 613
Mutual funds	943 626	1 153 255
Annuities	407 000	329 330
TOTAL	$ 2 215 351	$ 2 465 104

	COST	MARKET VALUE
Investments at June 30, 2020:		
U.S. Government securities	$ 155 829	$ 165 256
Corporate bonds	71 394	76 644
Marketable equity securities	515 443	500 940
Mutual funds	952 645	950 487
Annuities	407 000	336 099
TOTAL	$ 2 102 311	$ 2 029 426

Income from investments for the years ended June 30, 2021 and 2020 are summarized as follows:

	2021	2020
Interest and dividends	$ 47 701	$ 49 183
Annuity income	12 000	12 000
Realized gain (loss) on sale on investments	81 890	28 484
Management fees	(7 549)	(7 620)
TOTAL REALIZED INVESTMENT INCOME	134 042	82 047
Unrealized gain (loss) on investments	327 318	(111 811)
Change in value of annuities	(6 769)	3 421
NET INVESTMENT INCOME (LOSS)	$ 454 591	$ (26 343)

NOTE D - FAIR VALUE MEASUREMENTS

The Association's investments are reported at fair value in the accompanying statement of financial position. The methods used to measure fair value may produce an amount that may not be indicative of net realizable value or reflective of future fair values. Furthermore, although the Association believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

The fair value measurements authoritative literature establishes a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy consists of three broad levels: Level 1, Level 2, and Level 3. The Association uses appropriate valuation techniques based on the available inputs to measure fair value of its investments. When available, the Association measures fair value using Level 1 inputs because they generally provide the most reliable evidence of fair value. Level 3 inputs were used only when Level 1 or Level 2 inputs were not available. The three levels of fair value hierarchy are as follows:

Level 1 inputs are unadjusted quoted prices in active markets for identical assets or liabilities that the Foundation has the ability to access at the measurement date. The fair value of mutual funds is based on quoted net asset values of the shares held by the Foundation at year-end. The fair values of the marketable equity securities, corporate bonds, and U.S. government securities are based on quoted net asset value of the shares held by the Foundation at year-end.

Level 2 inputs are inputs other than quoted prices included within Level 1 that are observable for valuing the asset or liability, either directly or indirectly, including quoted prices for similar securities, interest rates, prepayment speeds, credit risk, etc. The fair values of mortgage backed securities are based on a discounted cash flow analysis based on observable inputs. These inputs include market quotes for similar instruments, current market yields and offering sheets.

Level 3 are inputs that are unobservable inputs for the asset or liability. Investments whose values are classified as Level 3 prices have significant unobservable inputs, as they may trade infrequently or not at all. When observable prices are not available for these securities, the funds use one or more valuation techniques for which sufficient and reliable data is available. The annuity is not actively traded and significant other observable inputs are not available. Thus, the fair value of the annuity is determined by discounting the related cash flows based on current yields of similar instruments with comparable durations.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
NOTES TO FINANCIAL STATEMENTS - CONTINUED

NOTE D - FAIR VALUE MEASUREMENTS - CONTINUED

The Association's investments are reported at fair value in the accompanying statements of net position.

		FAIR VALUE MEASUREMENTS AT REPORTING DATE USING		
JUNE 30, 2021	FAIR VALUE	QUOTED PRICES IN ACTIVE MARKETS FOR IDENTICAL ASSETS/ LIABILITIES (LEVEL 1)	SIGNIFICANT OTHER OBSERVABLE INPUTS (LEVEL 2)	SIGNIFICANT UNOBSERVABLE INPUTS (LEVEL 3)
Government Securities	$ 194 265	$ 194 265	$ -	$ -
Corporate Bonds	$ 103 641	$ 103 641	$ -	$ -
Equity Securities	$ 684 613	$ 684 613	$ -	$ -
Mutual Funds	$ 1 153 255	$ 1 153 255	$ -	$ -
Annuity	$ 329 330	$ -	$ -	$ 329 330
JUNE 30, 2020				
Government Securities	$ 165 256	$ 165 256	$ -	$ -
Corporate Bonds	$ 76 644	$ 76 644	$ -	$ -
Equity Securities	$ 500 940	$ 500 940	$ -	$ -
Mutual Funds	$ 950 487	$ 950 487	$ -	$ -
Annuity	$ 336 099	$ -	$ -	$ 336 099

There were no transfers between Level 1 and Level 2 for the periods presented.

The following table provides further details of the Level 3 fair value measurements.

	ANNUITY
Balance June 30, 2019	$ 332 678
Total gains or losses (realized or unrealized) included in changes in net assets available for benefits	3 421
Purchases, Sales, Issuances and Settlements:	
Purchases	-
Issues	-
Sales	-
Settlements	-
Balance June 30, 2020	336 099
Total gains or losses (realized or unrealized) included in changes in net assets available for benefits	(6 769)
Purchases, Sales, Issuances and Settlements (Net):	
Purchases	-
Issues	-
Sales	-
Settlements	-
Balance June 30, 2021	$ 329 330

	2021	2020
The amount of total gains and (losses) for the year included in change in net assets attributable to the changes in unrealized gains or (losses) relating to assets held at the end of the reporting period	$ (6 769)	$ 3 421

Gains and losses included in statement of activities for the years presented are reported in investment income (loss), net of investment fees.

NOTE E - CASH VALUE OF LIFE INSURANCE POLICIES

To provide long-term support for the Association, donors have contributed life insurance policies (with face amounts totaling $295,000 for each of the years presented) in which the Association is both the owner and beneficiary of the proceeds. Donors continue to fund the policies, which increases their cash value. The cash value is recorded as an asset, with the net change in cash value being recorded as an offsetting entry to change in value of life insurance. The net increase in cash value was $3,451 and $3,231 for the years ended June 30, 2021 and 2020, respectively.

NOTE F - TRANSACTIONS WITH STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION

The Association receives a management fee from the University Foundation. The University Foundation paid a management fee to the Association in the amount of $248,919 in the first quarter of 2021 for the calendar year of 2021. The Association recorded approximately half of the annual payment $125,750 as deferred revenue at June 30, 2021.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
NOTES TO FINANCIAL STATEMENTS - CONTINUED

NOTE G - TRANSACTIONS WITH STEPHEN F. AUSTIN STATE UNIVERSITY

All of the Association's staff is considered employees of the University. Salaries, payroll taxes, retirement, health insurance, and other benefits are paid and reported to authorities by the University. Since the amounts paid by the University do not pay for all the Association's salaries and benefits, the remaining costs of staff salaries and benefits are charged to and paid by the Association (see salaries and benefits on the statement of functional expenses). The amount of salaries and benefits paid by the University amounted to approximately $276,000 and $309,000 for the years ending June 30, 2021 and 2020, respectively and is not included in salaries and benefits on the statements of functional expenses. The Association makes periodic reimbursements to a special University account to pay the supplemental salaries. The Association owed the University for $24,863 and $76,119 at June 30, 2021 and 2020, respectively and is included in accounts payable on the statements of financial position.

The Association is charged for its use of University services. The Association owed the University $-0- and $76,272- at June 30, 2021 and 2020, respectively and is included in accounts payable on the statements of financial position.

No time and effort studies have been performed which could accurately allocate the payroll costs between the Alumni Association and the University. Furthermore, many activities (such as maintaining a donor database) benefit all three organizations, and time spent in such functions cannot be allocated using time and effort studies. Consequently, only the amount of payroll costs actually charged to the Association by the University has been shown as an expense in these financial statements.

In past and current years, the Association raised funds to finance the construction of the office space which it now occupies. The Association donated all construction to the University. The Association now uses this office space without charge. The rental value of the office space has not been determined and is not recorded in these financial statements.

NOTE H - FUND RAISING EVENTS

The Association conducts several fund raising events throughout the year to provide additional funding of endowments and promote the University. These events generated total revenues of $86,377 and $101,478 and costs of $52,193 and $197,268; resulting in net proceeds/(expense) of $34,184 and $(95,790) for the years ended June 30, 2021 and 2020, respectively.

NOTE I - NET ASSETS WITHOUT DONOR RESTRICTIONS

The Board voted to establish a life member endowment, which is shown as net assets without donor restrictions - board designated on the statement of financial position. The life member endowment represents the life membership dues collected by the Association. The earnings from the life member endowment are used to fund the operations of the Association. The following represents the activity in net assets without donor restrictions:

	UNDESIGNATED	BOARD DESIGNATED	TOTAL
Balance, June 30, 2019	$ (13 496)	$ 1 622 243	$ 1 608 747
Life membership dues	-	11 852	11 852
Change in net assets	(242 718)	-	(242 718)
Balance, June 30, 2020	(256 214)	1 634 095	1 377 881
Life membership dues	-	18 367	18 367
Change in net assets	499 952	-	499 952
Balance, June 30, 2021	$ 243 738	$ 1 652 462	$ 1 896 200

NOTE J - NET ASSETS WITH DONOR RESTRICTIONS

Net assets with donor restrictions consist of life insurance policies donated, funds collected and used for the Lettermen's Association and permanent endowments. Funds received for the Lettermen's may only be spent to further the purposes of that association, which is directed by a separate management group.

The net assets with donor restrictions are summarized as follows:

	JUNE 30, 2021	JUNE 30, 2020
Cash value of life insurance policies	$ 109 546	$ 106 095
Lettermen's Association	-	10 388
Lumberjack Marching Band Alumni	6 592	7 092
YXYW2SFA	587	-
Panola Charter Chapter	4 719	4 719
Permanent endowment funds	799 431	799 431
TOTAL	$ 920 875	$ 927 725

NOTE K - ENDOWMENTS

The Association's endowments consist of both donor-restricted endowment funds and fund designated by the Board of Trustees to function as endowments. As required by GAAP, net assets associated with endowment funds, including funds designated by the Board of Trustees to function as endowments, are classified and reported based on the existence or absence of donor-imposed restrictions.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
NOTES TO FINANCIAL STATEMENTS - CONTINUED

NOTE K - ENDOWMENTS - CONTINUED

Interpretation of Relevant Law

The Board of Trustees of the Association has interpreted the State Prudent Management of Institutional Funds Act (SPMIFA) as requiring the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. As a result of this interpretation, the Association classifies as net assets with donor restrictions (a) the original value of gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment, and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund.

Endowment Net Asset Composition by Type of Fund as of June 30, 2021:

	WITHOUT DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS	TOTAL
Donor-restricted endowment funds	$ -	$ 799 431	$ 799 431
Board-designated endowment funds	1 652 462	-	1 652 462
	$ 1 652 462	$ 799 431	$ 2 451 893

Changes in Endowment Net Assets for the Fiscal Year Ended June 30, 2021:

	WITHOUT DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS	TOTAL
Endowment net assets, beginning of year	$ 1 634 095	$ 799 431	$ 2 433 526
Life membership dues	18 367	-	18 367
ENDOWMENT NET ASSETS, END OF YEAR	$ 1 652 462	$ 799 431	$ 2 451 893

Funds with Deficiencies

From time to time, the fair value of the assets associated with the individual donor restricted endowment funds may fall below the level that the donor requires the Association to retain as a fund of perpetual duration. In accordance with GAAP, deficiencies of this nature that are reported in unrestricted net assets were $-0- at June 30, 2021 and 2020.

Return Objectives and Risk Parameters

The Association has adopted investment and spending policies for endowment assets that attempt to provide a stable source of perpetual financial support by its endowments while seeking to maintain the purchasing power of the endowment assets. Endowment assets include those assets of donor-restricted funds that the Association must hold to perpetuity.

Strategies Employed for Achieving Objectives

To satisfy its long-term rate-of-return objectives, the Association relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized) and current yield (interest and dividends). The Association targets a diversified asset allocation that places a greater emphasis on equity-based investments to achieve its long-term return objectives within prudent risk constraints.

NOTE L - CONCENTRATION RISK

The Association maintains its cash balances with banks and brokerage firms. The cash balances at banks are insured by the Federal Deposit Insurance Corporation (FDIC) up to $250,000. The Association's bank balances did not exceed the FDIC limits for the years presented.

The Association receives substantial funding from the University and from former students of the University. A significant reduction of this funding would require changes in staffing and activity levels of the Association.

NOTE M - LIQUIDITY

The Association's primary liquidity resources are membership dues, contributions, affinity programs and management fees. As part of the Association's liquidity management, it invests cash in excess of daily requirements in short-term investments, typically money market funds.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
NOTES TO FINANCIAL STATEMENTS - CONTINUED

NOTE M - LIQUIDITY - CONTINUED

The following reflects the Association's financial assets as of June 30, 2021 and 2020, reduced by amounts not available for general use within one year because of contractual or donor-imposed restrictions or internal designations.

	2021	2020
Financial assets, at end of year	$ 2 958 247	$ 2 588 375
Less Those Unavailable for General Expenditures Within One Year Due to Contractual or Donor Imposed Restrictions:		
Contractual or Donor Imposed Restrictions:		
Endowment fund	(799 431)	(799 431)
Cash value of life insurance	(109 546)	(106 095)
Lettermen fund	-	(10 388)
Lumberjack Marching Bank fund	(6 592)	(7 092)
YXYW2SFA	(587)	-
Panola Charter Chapter fund	(4 719)	(4 719)
Board Designations:		
Quasi-endowment to support operations	(1 652 462)	(1 634 095)
FINANCIAL ASSETS AVAILABLE TO MEET CASH NEEDS FOR GENERAL EXPENDITURES WITHIN ONE YEAR	$ 384 910	$ 26 555

FINANCIAL AFFAIRS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Finance and Audit Committee will consider: budgeting and appropriations request processes; all requests for appropriations and budgets covering expenditures of educational and general funds and auxiliary programs including, but not limited to, student housing and the athletic department; handling of university funds, depositories, etc., whether from appropriated or contributed funds; and the auditing function of the university including, but not limited to, annual audit plan, internal and external audit reports, risk assessment, and audit/compliance issues.

The following policies are necessary to incorporate organizational, job title, and regulatory changes and to improve the flow of information in the above areas of responsibility. The general counsel has reviewed the proposed revisions.

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented:

Delegated Purchasing Authority 17.5
Expenditure of Higher Education Funds 3.32*
Investments 3.21
Investments-Endowment Funds 3.20
Withdrawal Without Financial Clearance 6.22

*Note: New Policy

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Delegated Purchasing Authority

Policy Number: 17.5

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

Date of last revision, if applicable: 4/20/2021

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

Purpose of Policy (what does it do): This policy supports the university's centralized purchasing function but provides for specific delegations outside of the procurement office and also describes the handling of unauthorized purchases.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Revise approval for unauthorized purchases

Specific rationale for deletion of policy: NA

Additional Comments:

Reviewers:

Judi Kruwell, Interim Vice President for Finance and Administration
Jennifer McCall, Director of Procurement and Business Services/HUB Coordinator
Damon Derrick, General Counsel

Delegated Purchasing Authority

Original Implementation: Unpublished
Last Revision: *February 1, 2022* ~~April 20, 2021~~

Purpose

This policy supports the university's centralized purchasing function but provides for specific delegations outside of the procurement office and also describes the handling of unauthorized purchases.

Definitions

Account Manager is defined as a department head (including department chairs, division heads, and all deans or designees) and/or a financial manager.

Centralized purchasing requires the various departments and operational units of the university to make purchases utilizing the knowledge and experience of the procurement department.

An **unauthorized purchase** occurs when a university employee orders a product or service without an authorized purchase order issued by the procurement department *and the purchase is also not specifically delegated under proper administrative approval.* ~~.~~

General

The university adheres to a policy of centralized purchasing for the purposes of:

- ensuring compliance with state and federal laws, rules, and regulations;
- protecting the university from unauthorized acquisitions of supplies, equipment, and services;
- providing budgetary control and coordination;
- ensuring fair and ethical business practices;
- providing savings through consolidation of requirements and standardization of products where appropriate;
- providing Best Value Procurement (17.1) through various purchasing methods.

The procurement department, under supervision of the director of procurement and *business services*~~property services~~/HUB coordinator, has sole authority for the negotiation and purchase of all goods and services for the university with the exception of items listed in Items Requiring Board of Regents Approval (1.4), and the following specific delegations that exist under proper administrative approval:

- The director of the university libraries is authorized to purchase books, periodicals, journals, and other related materials needed to maintain university resource collections; and the curator of the Stone Fort Museum is authorized to purchase general merchandise for resale in the museum gift shop;
- Employees are authorized to make procurement card purchases in accordance with Procurement Card (17.11), and procurement card procedures maintained on the procurement department website;
- Employees ~~without procurement cards~~ may make purchases and request reimbursement if the purchase is approved by the account manager, follows university procurement policy and procedure, and other purchase options are not possible or available (taxes will not be reimbursed, except as allowed by law);
- Certain *direct pay disbursements* ~~payments~~ may be made *as outlined in* ~~by completing a voucher for submission to the controller's office.~~ Direct Pay Disbursements (17.20).~~, provides guidelines for purchase voucher use.~~

A memorandum of delegated purchasing authority is authorized by the President pursuant to Contracting Authority (1.3). Account managers may approve purchases of goods and services subject to policies and procedures.

All other purchases are to be submitted as a formal request for the procurement office to secure a good or service.

All official correspondence other than that delegated above; i.e., solicitations, purchase orders, change orders, cancellations, etc. shall be issued by the procurement office. The director of procurement and *business services*~~property services~~/HUB coordinator is delegated authority to sign all titles and associated documents for the purchase, transfer, or sale of vehicles, trailers, or marine equipment.

Purchases will be subject to Contracting Authority (1.3).

Unauthorized Purchases Made Outside of Delegated Authority

Unauthorized purchases will include inappropriate reimbursement requests that fall outside the scope of university procurement policy and procedure. Except as delegated herein, university employees are not authorized to commit to an expenditure of funds on behalf of the university.

Unauthorized purchases over $5,000 will not be paid by the university unless a justification is submitted to the *director of procurement and business services/HUB coordinator and may also be subject to* vice president for finance and administration ~~for~~ review. If approved, the appropriate

documentation and payment approval must be submitted to the procurement office to process a purchase order for the unauthorized purchase. *S*~~, and s~~tate appropriated funds may not be used to pay for the service or product unless approved by the vice president for finance and administration. If the unauthorized purchase is not approved, ~~by the vice president for finance and administration,~~ the employee will be responsible for payment to the vendor unless the order can be cancelled and/or the goods returned. Any freight, shipping costs, or return penalties will be paid by the employee in the event the order is cancelled and/or the goods returned to the vendor.

The following circumstances will not constitute an unauthorized purchase; however, a requisition must be entered in the university's financial system at the earliest practical date so that payment is not delayed resulting in possible late fees:

- emergency purchases as defined by Best Value Procurement (17.1);
- memberships;
- purchases that were to be made with a procurement card that reasonably could have been expected to be less than $5,000;
- magazine or book subscriptions;
- other automatically recurring or renewable fees;
- purchases associated with existing contracts negotiated by the procurement office;
- tournament fees or game guarantees;
- guest lecturers, speakers, artists, entertainers, performers, musicians if the contract is signed by the president or authorized designee prior to the event;
- other professional services as defined by state comptroller's expenditure codes, if the contract is signed by the president or authorized designee prior to the event; and
- service contracts associated with grants as long as the contract is in process with office of research and graduate studies.

Cross Reference: Contracting Authority (1.3); Items Requiring Board of Regents Approval (1.4); Best Value Procurement (17.1); Direct Pay Disbursements (17.20); Procurement Card (17.11)

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: Memorandum of Delegated Purchasing Authority

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Expenditure of Higher Education Funds

Policy Number: 3.32

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

Date of last revision, if applicable:

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

Purpose of Policy (what does it do): This policy establishes guidelines covering the allocation, management, budgeting, expenditures, and related restrictions for the appropriate use of Higher Education Funds (HEF) appropriated to Stephen F. Austin State University. These guidelines apply to use of the HEF funds by departments of the university.

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

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

☐ Internal Review ☒ Other, please explain: New policy

Please complete the appropriate section:

Specific rationale for new policy: Created policy to document guidelines for HEF expenditures and delegated purchasing authority for changes to HEF allcoations.

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Expenditure of Higher Education Funds

Original Implementation: February 1, 2022
Last Revision: N/A

Purpose

This policy establishes guidelines covering the allocation, management, budgeting, expenditures, and related restrictions for the appropriate use of Higher Education Funds (HEF) appropriated to Stephen F. Austin State University. These guidelines apply to use of HEF funds by departments of the university.

Definition

Higher Education Fund (HEF) - permanent capital funding provided under Article VII, Section 17, of the Texas Constitution. These funds are General Revenue funds that must reside in and be expended from the State Treasury.

General

An annual appropriation of funds under the Texas Constitution to eligible institutions of higher education is determined by the Texas Legislative Budget Board (LBB) for 10-year periods and subject to review and revision at the end of each five years.

The HEF expenditure budgets are determined along with the annual operating budget process and approved by the board of regents annually. Changes to the HEF expenditure budgets are governed by SFASU Policy 1.4, Items Requiring Board of Regents Approval, and are presented to the board or regents at each quarterly meeting.

The university will establish Higher Education Fund (HEF) Guidelines that articulate the purposes for which HEF can be expended, define expenditure categories with indications of HEF eligibility, list examples of HEF eligible expenditures, and explain other restrictions related to the use of these funds.

Cross Reference: Tex. Const. Art. VII, §17; Items Requiring Board of Regents Approval (1.4); Annual Budget Preparation (3.2)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Associate Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Investments

Policy Number: 3.21

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

Date of last revision, if applicable: 2/2/2021

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

Purpose of Policy (what does it do): This policy applies to all Stephen F. Austin State University operating funds, quasi-endowment funds, and bond proceeds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act (PFIA), and certain portions of the Texas Education Code. The policy states the goals and objectives in the investment of these assets and is intended to provide guidance in the management of the assets. Endowment funds are invested in accordance with Investments – Endowment Funds policy (3.20) approved by the Board of Regents (board) annually.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Minor changes for clarification.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Investments

Original Implementation: April 30, 1996
Last Revision: February *1*~~2~~, 2022~~1~~

Purpose

This policy applies to all Stephen F. Austin State University operating funds, quasi-endowment funds, and bond proceeds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act (PFIA), and certain portions of the Texas Education Code. The policy states the goals and objectives in the investment of these assets and is intended to provide guidance in the management of the assets. Endowment funds are invested in accordance with Investments – Endowment Funds policy (3.20) approved by the Board of Regents (board) annually.

Definitions

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

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

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

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

Investment Officers *include the university's vice president for finance and administration, the associate vice president of financial and administrative services, the director of treasury and student business services, and other employees as designated in writing by the university's vice president for finance and administration including an employee temporarily holding one of those positions in an acting or an interim role.*

General

Stephen F. Austin State University invests the public funds in its custody with primary emphasis on the preservation and safety of the principal amount of the investment. 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.

Investment Objectives

The foremost objective of all investment decisions shall be safety of principal. All investments must be undertaken with the fiduciary responsibility associated with that of a reasonable and prudent person. Investments must be in accord with Texas law. Investment maturity must be diversified to match the university's liquidity requirements and to meet all reasonably anticipated operating requirements. Investments shall incur no unreasonable risk in order to maximize potential income. Investments may be diversified in order to respond to changing economic and/or market conditions. No investments within the portfolio or investment practices conducted to effect investment activities shall violate the terms of this policy.

Investment Strategy

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

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

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

Investment Authority

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

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

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

Investment Responsibilities

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

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

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

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

Prudence

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

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

Investment Guidelines

Authorized Investments: All university funds and funds held in trust for others may be invested in the securities listed below and/or pooled with another institution of higher education as authorized in Texas Education Code Sec. 51.0031. The university is not required to liquidate investments that were authorized investments at the time of purchase. For investments exclusive of funds authorized by Sec. 51.0031, credit rating requirements will be monitored at least monthly. If or when a rating drops below the established minimum or when an investment is no longer authorized, that

investment will be liquidated as soon as prudently possible.

Authorized securities include:

a. obligations, including letters of credit, of the United States, 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, the underlying security for which is guaranteed by an agency or instrumentality of the United States;
d. other obligations, the principal and interest of which are unconditionally guaranteed or insured by, or backed by the full faith and credit of, the state of Texas or the United States or their respective agencies and instrumentalities, including obligations that are fully guaranteed or insured by the Federal Deposit Insurance Corporation or by the explicit full faith and credit of the United States;
e. obligations of states, agencies, counties, cities, and other political subdivisions of any state rated as to investment quality by a nationally recognized investment rating firm of not less than A or its equivalent;
f. interest-bearing banking deposits that conform to Sections 2256.009(7) and 2256.009(8) of the Texas Government code;
g. certificates of deposit and share certificates issued by a depository institution that conforms to Section 2256.010 of the Texas Government Code;
h. fully collateralized repurchase agreements that conform to Section 2256.011 of the Texas Government Code;
i. bankers' acceptances that conform to Section 2256.012 of the Texas Government Code;
j. commercial paper that conforms to Section 2256.013 of the Texas Government Code;
k. no-load money market mutual funds and no-load mutual funds registered and regulated by the Securities and Exchange Commission and conform to Section 2256.014 of the Government Code;
l. guaranteed investment contracts that conform to Section 2256.015 of the Government Code;
m. investment pools that conform to Sections 2256.016 and 2256.019 of the Government Code;
n. 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));
o. 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;
p. corporate bonds, debentures, or similar debt obligations rated by a nationally recognized investment rating firm in one of the two highest long-term rating categories, without regard to gradations within those categories.

Unauthorized Investments: The following investments are prohibited:

a. 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.

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

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

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

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

Credit risk is the risk that an issuer or counterparty to the investment will not fulfill its obligations

to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. To limit credit risk, this policy limits investments in corporate bonds, debentures or similar debt obligation to the two highest long-term rating categories.

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

Collateral Defined: The university shall accept only the following securities as collateral:

a. FDIC insurance coverage;
b. United States Treasury, Agency, or Instrumentality securities;
c. Direct obligations of the state of Texas or its agencies and instrumentalities;
d. Other obligations, the principal of and interest on which are unconditionally guaranteed or insured by the state of Texas or the United States;
e. Obligations of states, agencies thereof, counties, cities, and other political subdivisions of any state having been rated as to investment quality by a nationally recognized investment rating firm and having received a rating of no less than A or its equivalent;
f. Collateralized mortgage obligations (CMO) directly issued by a federal agency or instrumentality of the United States, the underlying security for which is guaranteed by an agency or instrumentality of the United States. CMO must have a stated final maturity date of less than 10 years.

Authorized Financial Dealers and Institutions

Investment transactions (bids and offers) will occur only between the university and board authorized broker/dealers or institutions authorized by Texas Education Code Sec.51.0031. The board shall adopt a list of approved qualified brokers that are authorized to engage in investment transactions with the university. This list shall be reviewed and revised at least annually.

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

Securities may not be bought from any organization whose representative has not provided the university with the acknowledgment required in the above paragraph. Funds invested with institutions authorized by Texas Education Code Sec. 51.0031, will be invested pursuant to the qualifying institution's investment policy.

Competitive quotes must be taken from at least three qualifying institutions for all individual security purchases and sales (excluding transactions with money market mutual funds, local government investment pools and when issued securities are deemed to be made at prevailing market rates).

External Financial Advisor Contract Renewal or Extension

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

Disclosure Requirements for Outside Financial Advisor

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

Performance Evaluation

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

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

Internal Controls

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

Disclosure Requirements for Investment Officers

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

- 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;
- 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
- the investment officer has acquired from the business organization during the previous year investments with a book value of $2,500 or more for the personal account of the investment officer.

Training

Each member of the board and investment officer shall attend at least one training session within six months after taking office or assuming duties relating to investment responsibilities as required by Section 2256.007 of the Texas Government Code. The primary investment officers shall attend ~~not less than once each state fiscal biennium~~ an investment training session relating to investment responsibilities from an independent source *not less than once each state fiscal biennium*. Training for the investment officer(s) will be conducted by an organization or firm that is approved by the board. The approved independent sources include:

- Texas Higher Education Coordinating Board
- Center for Public Management at the University of North Texas
- Government Treasurer's Organization of Texas
- PFM Asset Management LLC

The university may provide other training in investments in order to insure the quality and capability of the university's investment *officers* ~~personnel~~ to make investment decisions in compliance with the PFIA.

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

The board shall review this investment policy and investment strategies not less than annually. The board shall adopt a written instrument by rule, order, ordinance, or resolution stating that it has reviewed the investment policy and investment strategies and that the written instrument so adopted shall record any changes made to either the investment policy or investment strategies.

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

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: *Director of Treasury and Student Business Services*~~Vice President for Finance and Administration~~

Forms: None

Board Committee Assignment: Finance and Audit

APPENDIX A
INTERNAL CONTROLS

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

APPENDIX B
ADMINISTRATIVE PROCEDURES

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

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Investments- Endowment Funds

Policy Number: 3.20

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

Date of last revision, if applicable: 2/2/2021

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

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

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Minor changes for clarifications.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Investments–Endowment Funds

Original Implementation: Unpublished
Last Revision: February *1, 2022*~~2, 2021~~

Purpose

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

Definitions

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

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

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

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

Investment Officers *include the university's vice president for finance and administration, the associate vice president of financial and administrative services, the director of treasury and student business services, and other employees as designated in writing by the university's vice president for finance and administration including an employee temporarily holding one of those positions in an acting or an interim role.*

General

Endowment funds represent private funds given to the university by individuals or 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.

University endowment funds are not considered to be public funds but instead are governed by Section

51.0031 of the Texas Education Code. This section of the Texas Education Code states that the university "... with regard to donations, gifts and trusts, may establish endowment funds that operate as trusts and are managed under prudent person standards".

Investment Objectives

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

Investment Risk Tolerance

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

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

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

Prudence

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

Responsibility and Delegation of Authority

As provided in the Texas Education Code, each member of the Board of Regents (board[GO1]) has the legal responsibilities of a fiduciary in the management of funds under the control of the university. The board recognizes its responsibility to ensure that the assets of the endowment funds are managed for the exclusive benefit of the university in accordance with its donors' intentions, effectively and prudently, in full compliance with all applicable laws.

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

The Board

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

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

University Administration

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

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

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

Qualifying Institution

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

Investment Consultant

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

Specifically, the consultant will:

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

Investment Managers

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

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

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

The investment manager(s) will:

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

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

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

Investment Policy Guidelines

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

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

a. Direct obligations of the United States government or its direct agencies.
b. Direct obligations of federally-sponsored agencies in accordance with the above paragraph.
c. Obligations of states, agencies, counties, cities, and other political subdivisions of any state in accordance with the above paragraph.
d. United States dollar denominated bonds, debentures, or commercial paper and convertible securities issued by corporations in accordance with the above paragraph.
e. Debentures or obligations, and preferred or common stock of international governments and corporations. International preferred and common stock issues must be listed on an organized stock exchange.
f. Common stock and preferred stock issued by United States domiciled corporations and common stocks of international companies listed on the major U.S. or international security exchanges.
g. Certificates of Deposit issued by federally insured state banks, federally insured savings and loan associations and saving banks or federally insured credit unions. Amounts over the insurance limit of the institutions must be secured by pledged securities.
h. Bankers' acceptances accepted by a bank organized and existing under laws of the United States or any state in accordance with the above paragraph.
i. Money Market Mutual Funds. Funds must be registered with the Securities and Exchange Commission, have a maximum dollar weighted average maturity of no longer than l3 months, and be no-load funds. Funds must have assets consisting of securities described in the paragraphs above and seek to maintain a stable net asset value of $1.00 per share (or unit).
j. Mutual Funds. Funds must be registered with the Securities and Exchange Commission and invest in assets authorized under this policy.
k. Direct Security Repurchase Agreements. Direct Repos must be fully secured (collateralized) by securities authorized under the sections (a) through (g) above. Such collateral must be held by a third party. All agreements will comply with Federal Reserve Bank guidelines.

l. Shares of investment companies as defined by the Investment Company Act of l940. These companies include both closed-end investment companies and open-end investment companies (mutual funds). Shares in these companies may be purchased if they own securities described in sections (a) through (j) above.
m. Shares of Exchange Traded Funds, known as ETFs.
n. No more than ten percent (10%) of the equity portfolio can be invested at any time in one company based on the market value of the stock and portfolio.
o. No more than thirty percent (30%) of the equity portfolio can be invested in any one industry sector based on the market value of the portfolio.
p. Alternative investments. Permitted alternative investments may include hedge funds, managed futures funds, private equity funds, or real estate. Hedge funds are not subject to limitations of the "Prohibited Investment" section below. Investments in other strategies shall be reviewed and recommended by the investment officer prior to purchase.
q. Permitted alternative investments in the portfolio are limited to diversified commingled trust fund vehicles or limited partnerships offered through a third party distribution channel, such as what is offered through many broker-dealer firms.
r. Permitted alternative investments in the portfolio are limited to investment vehicles that offer the ability for the portfolio to make contributions or receive distributions at least quarterly (but preferably monthly) without restriction or incurring additional fees.
s. The portfolio shall emphasize investments in fund-of-fund vehicles that are diversified by investment style and typically utilize multiple investment managers within a fund.

Unauthorized Investments

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

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

Asset Allocation

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

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

The allowable asset mix for fixed income and equities is:

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

International Equity	0.0%	30.0%

Interest Rate, Credit and Foreign Currency Risks

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

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

Foreign currency risk is the risk that changes in exchange rates will adversely affect the fair value of investment. In order to mitigate this risk, international equity investments are limited to a maximum of 30% of the equity portfolio.

Gifts of Individual Securities

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

Quasi-Endowments

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

Distribution Policy

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

Performance Evaluation

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

Conflicts Of Interest

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

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

Audits

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

Investment Policy Adoption and Certification

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

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

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: *Director of Treasury and Student Business Services*~~Vice President for Finance and Administration~~

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Withdrawal Without Financial Clearance

Policy Number: 6.22

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

Date of last revision, if applicable: 1/29/2019

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

Purpose of Policy (what does it do): This policy establishes the sanctions and the process by which those santctions will be imposed when a student leaves the university without financial clearance.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Michaelyn Greene, Director of Treasury and Student Business Services
Mickey Diez, Registrar
Damon Derrick, General Counsel

Withdrawal Without Financial Clearance

Original Implementation: October 26, 1978
Last Revision: *February 1, 2022*~~January 29, 2019~~

Purpose

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

General

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

- The student will not be permitted to register for classes.
- The student will not be eligible to receive an official transcript of academic work completed.

Implementation

Each ~~area~~ *office* in which the student has a financial obligation requiring the imposition of sanctions will either notify the *student b*~~B~~usiness *services* office, citing the nature of the financial obligation, or will place a registration and transcript hold on the student's record. It will be the student's responsibility to contact the appropriate office to clear his/her record. These offices will then release the hold and notify the registrar's office once the financial obligation has been resolved, if needed.

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

Cross Reference: Student Accounts Receivable (3.28)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: *Director of Treasury and Student Business Services*~~Controller~~, Registrar

Forms: None

Board Committee Assignment: Finance and Audit

Stephen F. Austin State University

Board of Regents

Meeting 353

February 1, 2022

Stephen F. Austin State University
Board of Regents
Meeting 353
February 1, 2022

ROLL CALL

Regents

Karen Gantt, Chair
Tom Mason, Vice Chair
Jenn Winston, Secretary
David Alders
Robert Flores
Brigettee Henderson
Judy Olson
Laura Rectenwald
Nancy Windham
Spencer Coffey, Student Member

Administrators

Scott Gordon
Damon Derrick
Gina Oglesbee
Erma Brecht
Michara DeLaney-Fields
Anthony Espinoza
Brandon Frye
Graham Garner
Ryan Ivey
Judi Kruwell
Lorenzo Smith
Jill Still
Charlotte Sullivan

CADET ALBERTA BENEFO

Cadet Alberta Benefo is from Houston, TX and graduated from Alief Taylor High School in May 2019. Alberta was then accepted to SFA as a Nursing major and a minor in Military Science. Cadet Benefo's academic distinction has earned her a place on the Dean's List for three semesters and the President's List last semester. In January of 2021, Alberta decided to put college off a semester to join the Texas Army National Guard. She attended Basic Combat Training and Advanced Individual Training to become a 92Y (Yankee) Unit Supply Specialist. Cadet Benefo is currently on track to graduate with a Nursing degree and commission as a 2nd Lieutenant into the Army Nurse Corps.

ACADEMIC AFFAIRS – SPECIAL RECOGNITION

College of Forestry and Agriculture

- Dr. I-Kuai Hung-received the 2021 Society of American Foresters Carl Alwin Schenck Award for excellence in forestry education. We currently have 4 active forestry faculty that have received this highly competitive national award.
- For second consecutive year, The Wildlife Society SFA Student Chapter named 2021 national chapter of the year.
- For second consecutive year, The Society of American Forester SFA Student Chapter received 3rd place for national chapter of the year.

College Undergraduate Research Conference

- Purple Premium Cattle Sale
- Creech, David. July 27, 2021. SFASU Distinguished Grant Award, Silver Level, in Recognition of Funding Received.
- Creech, David. 2021. 2021 Life Member Award, Louisiana State Horticulture Society, in recognition of outstanding contributions to Louisiana Horticulture.

School of Art

- Shaun Roberts

Student Recognition

Rachel Rucker is a senior Data Analytics major graduating this spring. Her father went to SFA (class of 86). She was in the audience at the SFA Undergraduate Research Conference (URC) as a senior in high school. Both her father's experience at SFA and her inspiration from the URC helped her decide on SFA. Mainly she was interested in SFA due to her desire for faculty involvement and interaction. She is an honors student with a 4.0 GPA. According to Rachel, A lot of the below happened because of the SFA School of Honors.

Projects with Faculty:

- Dipak Singh: Code-driven data collection for fake news detection software
- Keith Hubbard: President's Innovation Fund Student Success Project

- Ryan Phelps: Coauthored paper "County Level Changes Alone Predicted Biden Win in Pennsylvania and Wisconsin"
    - Regression Project Scholarship for ECON 3339
    - SFA Undergraduate Research Conference Top Scholar for the Rusche College of Business junior year (2021)
    - Presented coauthored paper at the 2021 LSUS Regional Student Scholars Forum
    - Presented coauthored paper at the 2021 Federal Reserve Bank of Dallas Economic Scholars Program for Undergraduate Research
        - This was the first time that an SFA student has ever been accepted for a paper-presentation at this conference. They have an involved submission process with a short submission window.
        - Recipient of the Economic Scholars Scholarship

AARC Team-Lead Tutor (over 20 tutors) Anatomy and Physiology
Teaching Assistant for Jeremy Becnel
Volunteer Work:

- Director, Producer and Host of Rutherford B. H. Yates Museum Podcast
- Assisted the Nacogdoches Convention and Visitors Bureau with data management issues.
- SFA STEM Ambassador

She has had a lot of success in her applications to law school. This is still developing.

- 4 full-ride offers
    - 2 that also cover living costs
- She has positive feedback from some of her top choices.

Craig Turnage, class of 2000 and 2005, was named the Executive Director of the SFA Alumni Association in 2014. As Executive Director, Craig is responsible for the overall planning, implementation and management of programs and services that develop and enhance long-term relationships between SFA and alumni, students, faculty, and the community. In addition to the daily operations of the alumni office, Craig is responsible for directing activities that increase alumni engagement, including reunions and special events.

Derek Snyder, class of 2001, started working with the SFA Alumni Association as Marketing Coordinator in the summer of 2013 and was promoted to Director of Alumni in December of 2019 where he oversees marketing efforts, the graphic design for marketing products and publications, the SFA AA website, social media, promotions for events the Alumni Association hosts, printing needs and special projects.

Samantha Mora, class of 2008, started working with the SFA Alumni Association in February of 2012. As Director of Alumni Events and Engagement, Samantha is responsible for directing all Alumni events and engagement activities; delivering, maintaining, and developing Alumni events and programs which engage alumni, while meeting the needs of the University's diverse alumni community, and creating an attitude of continued loyalty and support for the University.

Travis Turner, class of 2005 and 2001, began working with the SFA Alumni Association as the Communications and Sponsorship Coordinator in January of 2020. Travis is responsible for social media management and graphic design, maintaining website graphics, developing advertising and marketing plans, and developing sponsorship opportunities.

Amie Ford, class of 2009 and 2011, began working for the Stephen F. Austin Alumni Association in June of 2014. As the Coordinator of Events and Engagement, Amie is responsible for providing advance support for alumni events and engagement functions. Amie also works closely with the Alumni Ambassador members to promote the value of an SFA education, stay connected with the university and its stakeholders.

Amber Lindsay joined the SFA Alumni Association staff in October of 2018 as the Assistant to the Executive Director. Amber works closely with the Executive Director and the Board of Directors to coordinate essential operations for the Association. Overseeing the student assistants at the Association and watching them become successful SFA Alumni is one of her greatest joys as a staff member.

Alicia Chatman, class of 2016, began working for the SFA Alumni Association in May of 2000. Alicia is the Gifts & Records Coordinator for the office of Alumni Affairs. Alicia is responsible for maintaining the university and alumni database; ensuring data is accurate, complete, and secure; compiling and creating accurate and complete reports from data; performing bookkeeping and gift processing; and maintaining accounting and fiscal records.

UNIVERSITY MARKETING COMMUNICATIONS -SPECIAL RECOGNITION

Dr. Shirley Luna

Dr. Shirley Luna first graduated from SFA in 1985 with a bachelor's degree in journalism, but her involvement with the university reaches much farther back.

As a child growing up in Center, Texas, she often accompanied her mother to campus as she worked toward her degree. Those early, special memories formed the foundation for Dr. Luna's commitment to and love of SFA.

After working for The Daily Sentinel as a reporter, Dr. Luna joined the SFA Public Affairs staff in 1998, serving as editorial coordinator and then associate director of media relations. In 2006, she completed a master's degree in mass communication and minor in marketing while continuing to work for the university full time.

She served as interim executive director of marketing twice while simultaneously pursuing a doctoral degree. In 2012, Dr. Luna was named executive director of marketing. The demands of an executive-level position did not deter her from reaching her goal, and in 2014, she was awarded a doctoral degree in educational leadership.

Dr. Luna has not been just "an SFA employee," but a standout one. In 2009, she received the highest honor the university can bestow upon a staff member — being named a recipient of the President's Achievement Award.

Throughout her 24-year tenure as an SFA employee, Dr. Luna has worn many hats. During the past 10 years as executive director of marketing, she has headed a team of writers, editors, web developers, videographers, photographers and graphic artists. She's had responsibility for providing vision, leadership, policy development and management of an integrated marketing and communications program. She has written hundreds of press releases and feature stories, edited thousands of documents, wrote text for a plethora of brochures, flyers, ads and web, served as the executive editor of the university's Sawdust magazine, taught mass communication classes, acted as the liaison between the media and the university, and even wrote a book. She also has served on numerous committees, including as a member of the Board of Directors for the Nacogdoches Convention and Visitors Bureau and chair of the education committee for the Nacogdoches Chamber of Commerce.

Dr. Luna is married to Ricky Luna, and together they have three children who all hold college degrees: Lonnie Luna, who is a two-time SFA graduate, works in Steen Library; Jacob Luna is a University of North Texas biology graduate who is an educator in Houston; and Dr. Rachel Luna Cline, a Southern Methodist University and Paul L. Foster School of Medicine at Texas Tech El Paso graduate, who is a Nacogdoches physician. Rachel and her husband, Dr. Eric Cline, welcomed a baby daughter, Valentina, in August. Dr. Luna plans to spend much of her retirement enjoying her new granddaughter.

Dr. Jeremy Higgins

Dr. Jeremy Higgins is the Director of the Department of Environmental Health, Safety and Risk Management. With 26 years of experience in this field, he has led in this position at SFA since 2004.

Dr. Higgins is a two-time graduate of SFA, earning an M.B.A. and an Ed.D. in Educational Leadership. He has a B.S. of environmental science from Sam Houston State University.

During his time at SFA, Dr. Higgins has chaired and served on multiple SFA committees, including the COVID Operation Team, Emergency Operations, Master Planning, Strategic Planning, SACS Reaffirmation, UPD Advisory, Director's Forum, Charter School Safety and Security, Construction/Space Modification and many other safety committees.

In addition to his duties with the Environmental Health, Safety and Risk Management Department, he is certified as a Certified Public Manager, Certified Professional Environmental Auditor in Health and Safety, and Certified Hazardous Materials Manager, and has been an adjunct faculty member for the Environmental Science Division and the Student Success Center for the past 15 years.

ATHLETICS – SPECIAL RECOGNITION

Lumberjack Football

MINUTES OF OCTOBER 31 – NOVEMBER 1, 2021 (351) AND DECEMBER 12, 2021 (352) BOARD OF REGENTS MEETINGS

Explanation:

The minutes of the October 31 – November 1, 2021 regular meeting of the Board of Regents (Meeting 351), December 12, 2021 special called meeting (Meeting 352) are included in this report.

Recommendation:

It is recommended by the administration that the minutes of the October 31 – November 1, 2021 (Meeting 351) and December 12, 2021 (Meeting 352) be approved as presented.

Stephen F. Austin State University

MINUTES OF THE BOARD OF REGENTS

Nacogdoches, Texas
October 22 and October 31 – November 1, 2021
Volume 351

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Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
October 31 – November 1, 2021
Austin Building, Room 307
Meeting 351

The Building and Grounds Committee met on Friday, October 22, 2021 in preparation for the full Board of Regents meeting held October 31 – November 1, 2021.

Friday, October 22, 2021

The meeting of the Building and Grounds Committee was called to order in open session at 8:21 a.m. by committee chair, David Alders.

PRESENT:

Committee Members:	Mr. David Alders, Chair
	Mrs. Brigettee Henderson
	Ms. Nancy Windham
	Mrs. Karen Gantt, ex officio, Board Chair
Board Members:	Mr. Tom Mason, Vice Chair
	Mrs. Jennifer Winston, Secretary
	Dr. Laura Rectenwald
General Counsel:	Mr. Damon Derrick
President:	Dr. Scott Gordon
Chief Audit Exec.:	Mrs. Gina Oglesbee
Cabinet Members:	Dr. Brandon Frye
	Mrs. Judi Kruwell
	Dr. Lorenzo Smith

Other SFA administrators and staff were in attendance. Athletic Director, Ryan Ivey joined the meeting during the tour.

At 8:24 a.m. the committee recessed to tour current and potential construction projects including the Naymola Basketball Performance Center, Hall 16, East College Cafeteria and the Fine Arts Expansion Project. The tour concluded at 10:20 a.m.

John Branch, Interim Director of the Physical Plant, provided the Construction Report.

Committee members heard presentations, discussed and agreed to recommend the following agenda items.

7. Student Residential and Dining Facilities Construction Project Budget Ratification

8. Issue a Request for Qualifications for a Firm to Update the Current Master Plan

9. Building and Grounds Committee Policy Revisions

The Building and Grounds Committee adjourned at 12:12 p.m.

Sunday, October 31, 2021

The meeting of the Board of Regents was called to order in open session at 1:00 p.m. by chair Karen Gantt.

PRESENT:

Board Members:	Mrs. Karen Gantt, Chair
	Mr. Tom Mason, Vice Chair
	Mrs. Jennifer Winston, Secretary
	Mr. David Alders
	Mr. Robert Flores
	Mrs. Brigettee Henderson
	Mrs. Judy Olson
	Dr. Laura Rectenwald
	Ms. Nancy Windham
	Mr. Spencer Coffey, Student Member
General Counsel:	Mr. Damon Derrick
President:	Dr. Scott Gordon
Chief Audit Exec.:	Mrs. Gina Oglesbee
Cabinet Members:	Ms. Erma Brecht
	Dr. Michara DeLaney-Fields
	Mr. Anthony Espinoza
	Mr. Brandon Frye
	Mr. Graham Garner
	Mr. Ryan Ivey
	Ms. Judi Kruwell
	Dr. Lorenzo Smith
	Ms. Jill Still

Other SFA administrators and staff were in attendance.

The board recessed to committee meetings.

The Academic and Student Affairs Committee chair, Brigettee Henderson called the committee meeting to order at 1:03 p.m.

Committee Members: Mrs. Brigettee Henderson, Chair

Dr. Laura Rectenwald
Mrs. Jennifer Winston
Mr. Spencer Coffey, Student Regent
Mrs. Karen Gantt, ex officio

Committee members heard presentations, discussed and agreed to recommend the following agenda items.

10. Dance Program Moved to College of Fine Arts

11. Curriculum Changes – Aviation Courses

12. Academic and Student Affairs Policy Revisions
    - Acceptable Use of Information Technology Services 14.2
    - Administrative Leave Faculty and Staff 12.11
    - Assessment of Institutional Effectiveness 2.3
    - Authorization for the University President to Suspend Faculty and Staff 11.3
    - Electronic Personnel Action Form 11.8
    - Financial Aid Code of Conduct 4.7
    - Illicit Drugs and Alcohol Abuse 13.11
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    - Organized Work Stoppage 11.18
    - Sick Leave 12.18
    - Student Code of Conduct 10.4
    - Students Displaying Serious Psychological Problems 10.13
    - Terminal Degrees 7.30
    - Workplace Accommodations for Lactation and Breastfeeding 11.33

The Academic and Student Affairs Committee meeting adjourned and the Finance and Audit Committee was called to order by committee chair, Tom Mason at 1:30 p.m.

Committee Members: Mr. Tom Mason, Chair
Mr. Robert Flores
Mrs. Judy Olson
Mrs. Karen Gantt, ex officio

Committee members heard presentations, discussed and agreed to recommend the following agenda items.

13. Acknowledge Receipt of Contract Monitoring Report

14. Annual Audit Report and Audit Charter

15. Acknowledge Receipt of Audit Services Report
    - Follow-Up Audit
    - Early Childhood Laboratory Audit
    - Public Funds Investment Act Audit

Update on Audit Plan
Budget Special Project
Update on August 31, 2022 Annual Financial Report External Review
Recap of August 31, 2021 Annual Financial Report External Review

The Finance and Audit Committee recessed for the afternoon during the Audit Services Report being presented by Gina Oglesbee at 2:10 p.m.

Chair Gantt called the meeting into executive session to consider the following items:

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

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

- Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, EEOC charges, Public Information Act, *Ann Wilder v. SFASU*; and *Christin Evans v. Sydney Miley, et al* (Texas Government Code, Section 551.071)

- Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the chief audit executive, director of athletics, executive director for enrollment management, chief marketing communications officer, chief information officer, chief diversity officer, director of governmental relations, vice presidents and the president. (Texas Government Code, Section 551.074)

The executive session ended and the Board of Regents meeting returned to open session at 7:08 p.m. Regent Flores left the meeting prior to the conclusion of the executive session due to other obligations.

The meeting was recessed by Chair Gantt at 7:09 p.m. to Monday, November 1, at 8:30 a.m.

Monday, November 1, 2021

The meeting of the Board of Regents was called to order in open session at 8:33 a.m. by Chair Karen Gantt.

PRESENT:

Board Members: Mrs. Karen Gantt, Chair
Mr. Tom Mason, Vice Chair
Mrs. Jennifer Winston, Secretary
Mr. David Alders
Mrs. Brigettee Henderson
Mrs. Judy Olson

Dr. Laura Rectenwald
Ms. Nancy Windham
Mr. Spencer Coffey, Student Member

General Counsel: Mr. Damon Derrick
President: Dr. Scott Gordon
Chief Audit Exec.: Mrs. Gina Oglesbee
Cabinet Members: Ms. Erma Brecht
Dr. Michara DeLaney-Fields
Mr. Anthony Espinoza
Mr. Brandon Frye
Mr. Graham Garner
Mr. Ryan Ivey
Ms. Judi Kruwell
Dr. Lorenzo Smith
Ms. Jill Still
Dr. Charlotte Sullivan

Other SFA administrators and staff were in attendance. Regent Flores was unable to attend the meeting.

Regent Alders offered the invocation and the board led the pledges to the flags.

Reports from the President Cabinet were presented to the board. Erma Brecht provided the update on enrollment; Lorenzo Smith shared the academic update; and Jill Still gave the Comprehensive Campaign update.

The board recessed to committee meetings.

The Finance and Audit Committee chair, Tom Mason reconvened the committee meeting at 10:20 a.m.

Committee Members: Mr. Tom Mason, Chair
Mr. Robert Flores
Mrs. Judy Olson
Mrs. Karen Gantt, ex officio

Committee members heard presentations, discussed and agreed to recommend the following agenda items.

15. Acknowledge Receipt of Audit Services Report
    Follow-Up Audit
    Early Childhood Laboratory Audit
    Public Funds Investment Act Audit
    Update on Audit Plan
    Budget Special Project
    Update on August 31, 2022 Annual Financial Report External Review
    Recap of August 31, 2021 Annual Financial Report External Review

Robert Belt, Managing Partner of Belt Harris Pechacek, LLLP, shared with the committee an update on the August 31, 2021 Annual Financial Report External Review and a recap of August 31, 2020 Annual Financial Report External Review.

16. Banner Hardware and Oracle Licensing Contract

17. Grant Awards

Judi Kruwell provided a report to the board on the Changes to Higher Education Funding Budget format and process.

18. Changes to FY2022 Capital and Higher Education Fund Budget Schedule

19. Media Buying Contract

20. Finance and Audit Policy Revisions
    Compliance 2.12
    Ethics 2.6
    Fraud 2.7
    Private Support Organizations or Donors 3.25

The Finance and Audit Committee recessed at 11:21 a.m. The Board returned to Committee of the Whole.

MINUTES

Board Order 22-03
Upon motion by Regent Mason, seconded by Regent Henderson, with all members voting aye, it was ordered that the minutes of Meeting 346, July 25-27, 2021; Special Called Meeting 347, August 14, 2021; Special Called Meeting 348, September 6, 2021; Special Called Meeting 349, September 12, 2021; and Special Called Meeting 350, September 27, 2021 be approved as presented.

PERSONNEL

Board Order 22-04
Upon motion by Regent Alders, seconded by Regent Olson, with all members voting aye, it was ordered that the following personnel items be approved.

STAFF APPOINTMENTS

The following staff appointments were approved.

ATHLETICS
Chamissa Anderson, Women's Basketball Assistant Coach, at an annual salary of $72,000 for 100-percent time, effective 8/9/2021.

Charles Crawford, Director Athletic Program Video Services, at an annual salary of $38,000 for 100-percent time, effective 8/23/2021.

Jon-Paolo D'Este, Strength and Conditioning Assistant, at an annual salary of $31,000 for 100-percent time, effective 9/1/2021.

Kaylee Shores, Athletic Trainer, at an annual salary of $35,568 for 100-percent time, effective 9/1/2021.

Jacolby Whitaker, Athletic Trainer, at an annual salary of $45,000 for 100-percent time, effective 7/19/2021.

CAMPUS RECREATION
Justin Ellerbe, Assistant Director, at an annual salary of $45,000 for 100-percent time, effective 10/4/2021.

Jacie Klose, Coordinator, at an annual salary of $36,000 for 100-percent time, effective 9/20/2021.

Jasmine Randolph, Coordinator, at an annual salary of $36,000 for 100-percent time, effective 10/11/2021.

CHARTER SCHOOL
Tiffany Carr, Teacher/Counselor, at an annual salary of $42,250 for 100-percent time, effective 9/1/2021.

CHARTER SCHOOL
Michelle Brazeil, Assistant Bursar, at an annual salary of $62,000 for 100-percent time, effective 8/9/2021.

HEALTH SERVICES
Karissa Rickman, Nurse, at an annual salary of $49,275 for 100-percent time, effective 10/11/2021.

INFORMATION TECHNOLOGY SERVICES
Christopher Adams, Programmer Analyst I, at an annual salary of $41,000 for 100-percent time, effective 9/13/2021.

Taylor Ingram, Programmer Analyst I, at an annual salary of $41,000 for 100-percent time, effective 9/13/2021.

POST OFFICE
Bobbie Stewart, Manager, at an annual salary of $45,000 for 100-percent time, effective 10/4/2021.

REGISTRAR OFFICE
Mickey Diez, Registrar, at an annual salary of $92,000 for 100-percent time, 9/20/2021.

RESIDENCE LIFE

Dontae Armstrong, Area Coordinator, at an annual salary of $45,000 for 100-percent time, effective 8/3/2021.

Carl Mackey, Area Coordinator, at an annual salary of $45,000 for 100-percent time, effective 10/8/2021.

STUDENT AFFAIRS
Andrew Dies, Assistant Vice President of Student Affairs and Dean of Students, at an annual salary of $120,000 for 100-percent time, 8/9/2021.

STEM CENTER
Cynthia Maurstad, Teaching and Learning Coordinator, at an annual salary of $60,000 for 100-percent time, effective 9/27/2021.

UNIVERSITY MARKETING COMMUNICATIONS
Gabrielle Czapla, Photo-Videographer I, at an annual salary of $40,300 for 100-percent time, 8/30/2021.

FACULTY APPOINTMENTS

The following faculty appointments were approved.

RUSCHE COLLEGE OF BUSINESS
Jamie Kurash, MBA (University of Oklahoma), Visiting Assistant Professor of Economics and Finance at an academic salary of $100,000 for 100-percent time, effective 9/1/2021.

Jamie Derrick, MBA (University of Mississippi), Lecturer of Management and Marketing at an academic salary of $65,000 for 100-percent time, effective 9/1/2021.

PERKINS COLLEGE OF EDUCATION
Heeok Jeong, Ph.D. (University of Utah), Assistant Professor of Education Studies at an academic salary of $62,000 for 100-percent time, effective 9/1/2021.

Jennifer Luque, MS (SFA), Clinical Instructor of Human Sciences at an annual salary of $56,000 for 100-percent time, effective 9/1/2021.

Pietro Sasso, Ph.D. (Old Dominion), Assistant Professor of Educational Leadership at an academic salary of $66,500 for 100-percent time, effective 9/1/2021.

Keilea Sumrall, Ph.D. (A.T. Still University), Assistant Professor of Kinesiology and Health Sciences at an annual salary of $60,000 for 100-percent time, effective 9/1/2021.

COLLEGE OF FINE ARTS
Kristen Blossom, MFA (Florida State University), Assistant Professor of Theatre at an academic salary of $52,000, for 100-percent time, effective 9/1/2021.

Andrea Denis, DMA (Texas Tech University), Assistant Professor of Music, at an academic salary of $50,000, for 100-percent time, effective 9/1/2021.

Margaret Fay, DMA (Indiana University), Visiting Assistant Professor of Music at an academic salary of $50,000, for 100-percent time, effective 9/1/2021.

Kathryn Fenton, Ph.D. (University of Western Ontario), Assistant Professor of Music at an academic salary of $55,000, for 100-percent time, effective 9/1/2021.

Minhae Lee, DMA (Michigan State University), Assistant Professor of Music at an academic salary of $50,000, for 100-percent time, effective 9/1/2021.

Erik Ordaz Lozano, MFA (SFA), Visiting Lecturer/Exhibit Coordinator of Art at an annual salary of $41,200, for 100-percent time, effective 9/1/2021.

Selma Morales Roberts, MFA (University of Washington), Visiting Assistant Professor of Art at an academic salary of $48,000, for 100-percent time, effective 9/1/2021.

James McDaniel, MFA (University of Houston), Lecturer of Theatre at an academic salary of $48,000, for 100-percent time, effective 9/1/2021.

ARTHUR TEMPLE COLLEGE OF FORESTRY AND AGRICULTURE
Anusha Shrestha, Ph.D. (Mississippi State University), Assistant Professor of Forestry at an academic salary of $58,500, for 100-percent time, effective 9/1/2021.

COLLEGE OF LIBERAL AND APPLIED ARTS
Mario Morera-Jimenez, Ph.D. (Texas Tech University), Visiting Assistant Professor of Languages, Culture and Communication, at an academic salary of $56, 435 for 100-percent time, effective 9/1/2021.

Alicia Moss, MSW (SFA), Visiting Assistant Professor of Social Work at an academic salary of $60,000 for 100-percent time, effective 9/1/2021.

Rebecca Spears, MFA (Bennington College), Visiting Lecturer of English and Creative Writing, at an academic salary of $40,000 for 100-percent time, effective 9/1/2021.

Lydia Towns, Ph.D. (University of Texas), Lecturer of History, at an academic salary of $40,000 for 100-percent time, effective 9/1/2021.

Stephanie Washington, Ph.D. (University of Houston), Assistant Professor of Social Work at an academic salary of $65,000 for 100-percent time, effective 9/1/2021.

COLLEGE OF SCIENCES AND MATHEMATICS
Jason Pratscher, Ph.D. (Illinois University), Assistant Professor of Mathematics and Statistics at an academic salary of $60,000 for 100-percent time, effective 9/1/2021.

Hacer Varol, Ph.D. (Lamar University), Assistant Professor of Physics, Engineering and Astronomy at an academic salary of $80,000 for 100-percent time, effective 9/1/2021.

CHANGES OF STATUS

The following changes of status were approved.

STAFF

ADMISSIONS
Courtney Branton, from Coordinator, at an annual salary of $49,000, 100-percent time, to Assistant Director of Admissions at an annual salary of $51,000, 100-percent time, effective 9/1/2021.

Kimberly Deckard, from Assistant Director, at an annual salary of $47,000, 100-percent time, to an annual salary of $50,000, 100-percent time, effective 9/1/2021.

Amy Kobuck, from Regional Coordinator, at an annual salary of $49,787, 100-percent time, to Senior Regional Coordinator of Admissions at an annual salary of $51,787, 100-percent time, effective 9/1/2021.

Janet McLeroy, from Assistant Director, at an annual salary of $56,356, 100-percent time, to Program Director of Admissions, effective 9/1/2021.

ATHLETICS
Karl Berry, from Athletic Program Director, at an annual salary of $35,568, 100-percent time, to Assistant Director of Athletics Broadcast Technology and Marketing Operations, at an annual salary of $42,000, 100-percent time, effective 9/1/2021.

Leonard Bishop, from Assistant Women's Basketball Coach, at an annual salary of $82,000, 100-percent time, to an annual salary of $84,000, effective 8/1/2021.

William Crittenden, from Athletic Program Director-Ticket Operations and Business Development, at an annual salary of $57,000, 100-percent time, to Associate Director of Athletic Business Development and Revenue Generation, at an annual salary of $62,000, 100-percent time, effective 9/1/2021.

Cody Dukquits, from Strength and Conditioning Assistant, at an annual salary of $36,000, 100-percent time, to an annual salary of $45,000, effective 9/1/2021.

Cameron Rogers, from Assistant Football Coach, at an annual salary of $30,000, 100-percent time, to an annual salary of $32,500, effective 6/1/2021.

Marcus Walker, from Assistant Football Coach, at an annual salary of $40,000, 100-percent time, to an annual salary of $42,500, effective 6/1/2021.

ATHLETIC SOCIAL DIGITAL MEDIA
Chelsea Groves, from Assistant Program Director-Strategic Communications for Athletics, at an annual salary of $36,000, 100-percent time, to Program Director of Athletic Social Digital Media, effective 9/1/2021.

ATHLETIC STRATEGIC COMMUNICATIONS
Kevin Meyer, from Program Director-Strategic Communications for Athletics, at an annual salary

of $48,000, 100-percent time, to Assistant Director for Athletic Strategic Communications, at an annual salary of $50,000, 100-percent time, effective 9/1/2021.

ATHLETICS ACADEMIC SERVICES
Jordan Rains, from Student Compliance Specialist, at an annual salary of $38,000, 100-percent time, to Interim Director for Athletics Academic Services, at an annual salary of $38,000, 100-percent time, with a stipend of $1,250 for 3-months, effective 8/27/2021.

CHARTER SCHOOL
Angelique Beckwith, from Teacher for the Charter School, at a 10-month salary of $57,151, 100-percent time, to a 10-month salary of $58,008, effective 9/1/2021.

Kendall Berger, from Teacher for the Charter School, at a 10-month salary of $39,000, 100-percent time, to a 10-month salary of $39,390, effective 9/1/2021.

Juliann Brooks, from Teacher for the Charter School, at a 10-month salary of $43,316, 100-percent time, to a 10-month salary of $44,182, effective 9/1/2021.

Natalie Cardenas, from Teacher for the Charter School, at a 10-month salary of $53,682, 100-percent time, to a 10-month salary of $54,756, effective 9/1/2021.

Stephanie Creel, from Teacher for the Charter School, at a 10-month salary of $52,500, 100-percent time, to a 10-month salary of $53,025, effective 9/1/2021.

Morgan Dean, from Teacher for the Charter School, at a 10-month salary of $39,890, 100-percent time, to a 10-month salary of $40,687, effective 9/1/2021.

Kelly Finnerud, from Teacher for the Charter School, at a 10-month salary of $41,700, 100-percent time, to a 10-month salary of $41,909, effective 9/1/2021.

Jacklyn Hamilton, from Teacher for the Charter School, at a 10-month salary of $39,798, 100-percent time, to a 10-month salary of $39,997, effective 9/1/2021.

Alyssa Landreneaux, from Teacher for the Charter School, at a 10-month salary of $45,990, 100-percent time, to a 10-month salary of $46,450, effective 9/1/2021.

Eileen Meyers, from Teacher for the Charter School, at a 10-month salary of $48,092, 100-percent time, to a 10-month salary of $50,015, effective 9/1/2021.

Ragan Philliber, from Teacher for the Charter School, at a 10-month salary of $47,459, 100-percent time, to a 10-month salary of $47,934, effective 9/1/2021.

Madison Taylor, from Teacher for the Charter School, at a 10-month salary of $41,184, 100-percent time, to a 10-month salary of $42,008, effective 9/1/2021.

Ande Wallace, from Teacher for the Charter School, at a 10-month salary of $41,150, 100-percent time, to a 10-month salary of $41,356, effective 9/1/2021.

Holli Zawlocki, from Teacher for the Charter School, at a 10-month salary of $51,086, 100-percent time, to a 10-month salary of $52,107, effective 9/1/2021.

COLLEGE OF EDUCATION ACADEMIC SERVICES
Stephanie Strahl, from Academic Advisor II at an annual salary of $42,254, 100-percent time, to Academic Advisor III at an annual salary of $46,479 100-percent time, effective 9/1/2021.

CONTROLLER'S OFFICE
Amy Mooneyham, from Accounting Clerk III for the Charter School at an annual salary of $42,845, 100-percent time, to Assistant Bursar at an annual salary of $62,000, 100-percent time, effective 8/9/2021.

COUNSELING SERVICES
Clare Fite, from Counselor at an annual salary of $43,230, 100-percent time, to Director at an annual salary of $70,300 100-percent time, effective 9/1/2021.

DISABILITY SERVICES
Natalie Buuck, from Coordinator of Disability Support Services at an annual salary of $46,350, 100-percent time, to Assistant Director at an annual salary of $50,000 100-percent time, effective 9/1/2021.

EARLY CHILDHOOD LAB
Hayley Tutt, from Assistant Teacher at an annual salary of $25,707, 100-percent time, to Lead Teacher, at an annual salary of $36,000, 100-percent time, effective 9/1/2021.

ENROLLMENT AND COMMUNICATION STRATEGIES
Kimberly Morris, from Associate Director for Admissions, at an annual salary of $64,740, 100-percent time, to Director for Enrollment and Communication Strategies, at an annual salary of $69,919, 100-percent time, effective 9/1/2021.

FINANCIAL AID
Irish Beason, from Counselor I, at an annual salary of $42,796, 100-percent time, to Counselor II, at an annual salary of $44,796, 100-percent time, effective 9/1/2021.

Matthew Miller, from Counselor I, at an annual salary of $37,300, 100-percent time, to Counselor III, at an annual salary of $44,796, 100-percent time, effective 9/1/2021.

Tammy Mitchum, from Assistant Director, at an annual salary of $56,657, 100-percent time, to Associate Director, at an annual salary of $62,232, 100-percent time, effective 9/1/2021.

Donna Story, from Counselor II, at an annual salary of $51,054, 100-percent time, to Counselor III, at an annual salary of $53,054, 100-percent time, effective 9/1/2021.

Sara Williams, from Counselor I, at an annual salary of $40,695, 100-percent time, to Counselor II, at an annual salary of $42, 695, 100-percent time, effective 9/1/2021.

FINANCIAL AND ADMINISTRATIVE SERVICES
Michaelyn Green, from Director of Administrative Services at an annual salary of $96,410, 100-

percent time, to Director of Treasury and Student Business Services at an annual salary of $115,000, 100-percent time, effective 9/1/2021.

Judith Kruwell, from Associate Vice President at an annual salary of $150,000, 100-percent time, to Interim Vice President at an annual salary of $150,000, 100-percent time, with a $2,500 stipend for 2-months effective 7/28/2021 and then a $2,500 stipend for 12-months effective 9/1/2021.

LIBRARY
Barbara Olds, from Manager of E-Resources and Assessment at an annual salary of $64,353, 100-percent time, to Manager of Technical Services effective 9/1/2021.
ONE STOP SHOP (AXE HANDLE)

Alex Reisinger, from Supervisor of Admissions One Stop Shop, at an annual salary of $38,000, 100-percent time, to Manager for the One Stop Shop (Axe Handle), at an annual salary of $48,000, 100-percent time, effective 9/1/2021.

PHYSICAL PLANT
John Branch, from Associate Director at an annual salary of $85,925, 100-percent time, to Interim Director at annual salary of $85,925 for 100-percent time, with a $2,006.25 monthly stipend for 12-months, effective 9/1/2021.

STUDENT CENTER
Gavin McCarty, from Director of Print and Postal Services at an annual salary of $66,414, 100-percent time, to Assistant Director for the Student Center at annual salary of $49,500 for 100-percent time, effective 7/1/2021.

REGISTRAR OFFICE
Sabrina Delaney, from Associate Registrar at an annual salary of $59,843, 100-percent time, to an annual salary of $65,343, effective 9/1/2021.

Joshua Renfro, from Coordinator at an annual salary of $32,960, 100-percent time, to Assistant Registrar, an annual salary of $43,775, effective 9/1/2021.

RESEARCH AND GRADUATE STUDIES
Beverly Morehouse, from Sponsored Programs Specialist at an annual salary of $63,040, 100-percent time, to Sponsored Programs Specialist Senior, effective 9/1/2021.

RESIDENCE LIFE
Judy Duffin, from Operations Coordinator at an annual salary of $37,450, 100-percent time, to Staff Services Supervisor at an annual salary of $50,000, 100-percent time effective 9/1/2021.

SAFETY AND RISK MANAGEMENT
Gregory Moore, from Safety Officer, at an annual salary of $49,500, 100-percent time, to an annual salary of $56,846, effective 9/1/2021.

STUDENT SUCCESS COORDINATOR
Raquel Skidmore, from Coordinator at an annual salary of $50,159, 100-percent time, to Director at an annual salary of $75,000, 100-percent time effective 9/1/2021.

UNDERGRADUATE ENROLLMENT
Emily Jefferson, from Coordinator of Transfer Students for Admissions at an annual salary of $55,400, 100-percent time, to Director for Undergraduate Enrollment, at an annual salary of $65,000, 100-percent time, effective 9/1/2021.

UNIVERSITY MARKETING COMMUNICATIONS
Kerry Whitsett, from Marketing Communications Specialist-Editorial Services at an annual salary of $40,155, 100-percent time, to Marketing Communication Coordinator-Digital at an annual salary of $50,000, 100-percent time effective 9/1/2021.

FACULTY

RUSCHE COLLEGE OF BUSINESS
Justin Blount, from Associate Professor of Business Communications and Legal Studies at an academic salary of $94,148, 100-percent time, to Interim Assistant Chair of Business Communications and Legal Studies at an academic salary of $94,148, 100-percent time, with a $400 stipend for 12-months effective 9/1/2021.

Carol Wright, from Associate Professor of Business Communications and Legal Studies at an academic salary of $87,423, 100-percent time, to Interim Chair of Business Communications and Legal Studies at an academic salary of $87,423, 100-percent time, with a $600 stipend for 12-months effective 9/1/2021.

COLLEGE OF FINE ARTS
Tamey Anglley, from Associate Professor/Associate Director of Bands for School of Music at an academic salary of $68,129, 100-percent time, to Associate Professor/Director of Bands at a 11-month academic salary of $90,000, 100-percent time, effective 8/1/2021.

Nathan Nabb, from Professor of Music at an academic salary of $73,968, 100-percent time, to Interim Director of the School of Music at an academic salary of $73,968, 100-percent time, with a $1,000 stipend for 3-months effective 6/1/2021 and a $1,000 stipend for 12-months effective 9/1/2021.

Gary Wurtz, from Director/Professor for the School of Music at an annual salary of $122,477, 100-percent time, to Interim Dean for the College of Fine Arts at an annual salary of $122,477, 100-percent time, with a $1,000 stipend for 3-months effective 6/1/2021 and a $1,500 stipend for 12-months effective 9/1/2021.

COLLEGE OF LIBERAL AND APPLIED ARTS
Andrew Lannen, from Associate Professor of History at an academic salary of $60,941, 100-percent time, to Interim Chair of History at an academic salary of $60,941, 100-percent time, with a $1,000 stipend for 12-months effective 9/1/2021.

Emmerentie Oliphant, from Professor of Social Work at a 11-month academic salary of $96,467, 100-percent time, to Interim Director for the School of Social Work at an academic salary of $96,467, 100-percent time, with a $700 stipend for 12-months effective 9/1/2021.

COLLEGE OF SCIENCES AND MATHEMATICS
Mike Janusa, from Chair/Professor of Chemistry at an academic salary of $139,271, 100-percent time, to Professor of Chemistry at an academic salary of $105,000, 100-percent time, effective 9/1/2021.

Laurel Matthews, from Clinical Instructor of Nursing at an academic salary of $57,583, 100-percent time, to Assistant Professor of Nursing at an academic salary of $60,000, 100-percent time, effective 9/1/2021.

Odutayo Odunuga, from Professor of Chemistry at an academic salary of $74,919, 100-percent time, to Interim Chair of Chemistry at an academic salary of $74,919, 100-percent time, with a $1,000 stipend for 12-months effective 9/1/2021.

RESEARCH AND GRADUATE STUDIES
Freddie Avant, from Associate Dean/Director for the School of Social Work at a 11-month academic salary of $136,097, 100-percent time, to Interim Dean for Research and Graduate Studies at a 11-month academic salary of $136,097, 100-percent time, with a $1,500 stipend for 12-months effective 9/1/2021.

FACULTY PROMOTIONS

The following faculty promotions were approved.

To Associate Professor Emeritus, effective November 2021.

Al Greule	Mass Communications

To Professor Emeritus, effective November 2021.

Troy Davis	History
Robert Szafran	Anthropology, Geography and Sociology

RETIREMENTS

The following retirement was approved.

FINANCE AND ADMINISTRATION
Danny Gallant, Vice President, 38 years of service to SFA, effective 7/31/2021.

BUILDING AND GROUNDS COMMITTEE

Board Order 22-05
Upon motion by Regent Alders, seconded by Regent Olson, with all members voting aye, it was ordered that the following building and grounds item be approved.

STUDENT RESIDENTIAL AND DINING FACILITIES CONSTRUCTION PROJECT BUDGET RATIFICATION

WHEREAS, the board members considered: The Student Residential and Dining Facilities Projects were part of a $116 million bond issue in 2019. As part of the issue, the amount of the proceeds allocated to the dining and housing projects totaled $39.5 million.

Expenditures to date include project includes design, materials testing, civil engineering and architectural costs of original project objectives in the amount of $1,090,308.67 for Student Residential and $194,444.05 for Dining Facilities, for a total of $1,284,752.77 to-date.

THEREFORE, it was ordered that the ratification of the student residential and dining facilities budget through October 31, 2021, in the amount of $1,284,752.77 for project expenditures to-date be approved.

Board Order 22-06
Upon motion by Regent Alders, seconded by Winston, with all members voting aye, it was ordered that the following building and grounds item be approved.

ISSUE A REQUEST FOR QUALIFICATIONS FOR A FIRM TO UPDATE THE CURRENT MASTER PLAN

WHEREAS, the board members considered: The Board of Regents approved the current campus master plan on April 19, 2011. That plan extended through fiscal year 2020. On July 23, 2019, the Board of Regents approved the selection of a campus master planning firm to update the campus master plan. However, the proposed pricing from the awarded firm to perform the study was unable to be negotiated within the planned budget allocation at the time. The administration is requesting authorization to issue a Request for Qualifications for a firm to update the current master plan.

THEREFORE, it was approved to issue a Request for Qualifications for a firm to update the current master plan. Respondents will be evaluated, ranked and finalists will be presented to the regents at a later meeting.

Board Order 22-07
Upon motion by Regent Alders, seconded by Regent Windham, with all members voting aye, it was ordered that the following building and grounds item be approved.

BUILDING AND GROUNDS POLICY REVISIONS

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

Campus Facilities for Political Purposes 16.8
Naming Guidelines 1.5
Vending 16.35

The board broke for lunch at 11:50 a.m. and returned at 1:25 p.m.

SPECIAL RECOGNITION

Chair Gantt recognized Cadet Carey Warren for his time at SFA in the ROTC program and wishes him well with his upcoming commissioning and graduation in December. Lorenzo Smith recognized faculty members receiving Emeritus status. Jill Still recognize the University Advancement and Development Office teams for their efforts on the Comprehensive Capital Campaign.

ACADEMIC AND STUDENT AFFAIRS COMMITTEE

Board Order 22-08
Upon motion by Regent Henderson, seconded by Regent Winston, with all members voting aye, it was ordered that the following academic and student affairs item be approved.

DANCE PROGRAM MOVED TO COLLEGE OF FINE ARTS

WHEREAS, the board members considered: The College of Fine Arts recommends moving the Dance Program out of the department of Kinesiology and Health Science within the Perkins College of Education into the College of Fine Arts. In the College of Fine Arts, Dance will join the School of Theatre under the new name School of Theatre and Dance. The faculty and students in the Dance Program asked for this move, with the belief that it will better reflect their artistry and discipline. The College of Fine Arts leadership and faculty share their belief.

THEREFORE, it was approved to the move of the Dance Program to the College of Fine Arts, and that it resides alongside theatre in a newly named School of Theatre and Dance.

Board Order 22-09
Upon motion by Regent Henderson, seconded by Regent Windham, with all members voting aye, it was ordered that the following academic and student affairs item be approved.

CURRICULUM CHANGES – AVIATION COURSES

WHEREAS, the board members considered: The Stephen F. Austin State University James I. Perkins College of Education's School of Human Sciences requests approval for the following two courses, AVSC 3204 Commercial Flight I and AVSC 3104 Commercial Flight II.

These courses are flight lab courses and have been approved through the curriculum process at Stephen F. Austin State University. They are part of the degree plan for the BS in Aviation Sciences, which was approved in July 2021 by the Board of Regents and on September 17, 2021 by the Texas Higher Education Coordinating Board.

THEREFORE, it was ordered that the James I. Perkins College of Education School of Human Sciences Aviation Sciences courses AVSC 3204 Commercial Flight I and AVSC 3104 Commercial Flight II be approved.

Board Order 22-10
Upon motion by Regent Henderson, seconded by Regent Olson, with all members voting aye, it was ordered that the following academic and student affairs item be approved.

ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

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

Acceptable Use of Information Technology Services 14.2
Administrative Leave Faculty and Staff 12.11
Assessment of Institutional Effectiveness 2.3
Authorization for the University President to Suspend Faculty and Staff 11.3
Electronic Personnel Action Form 11.8
Financial Aid Code of Conduct 4.7
Illicit Drugs and Alcohol Abuse 13.11
Moving Expenses 3.23
Notary Public 2.8
Organized Work Stoppage 11.18
Sick Leave 12.18
Student Code of Conduct 10.4
Students Displaying Serious Psychological Problems 10.13
Terminal Degrees 7.30
Workplace Accommodations for Lactation and Breastfeeding 11.33

FINANCE AND AUDIT COMMITTEE

Board Order 22-11
Upon motion by Regent Mason, seconded by Regent Olson, with all members voting aye, it was ordered that the following financial affairs item be approved.

ACKNOWLEDGE RECEIPT OF CONTRACT MONITORING REPORT

The Board of Regents acknowledged receipt of the contract monitoring report as presented including the following:

Aramark
CORE Construction Services of Texas, Inc.
EbenConcepts Company
Carlberg, LLC
Texas General Land Office
Kingham Dalton Wilson, Ltd.

Board Order 22-12
Upon motion by Regent Mason, seconded by Regent Alders, with all members voting aye, it was ordered that the following financial affairs item be approved.

ANNUAL AUDIT REPORT AND AUDIT CHARTER

WHEREAS, the board members considered: According to the Rules and Regulations of the Board of Regents, the chief audit executive shall submit an annual report as required by Art. 6252-5d, V.T.C.S., recodified at Government Code, Chapter 2101. The annual report shall be submitted to

the president and the board for review prior to public dissemination. In addition, the Institute of Internal Auditors (IIA) International Standards for the Professional Practice of Internal Auditing (the standards) require the internal audit charter to be approved periodically. The internal audit charter provides the purpose, authority, responsibility, and position of the internal audit department. The charter is included in the annual audit report.

THEREFORE, it was ordered that the annual audit report and audit charter pending approval of the Finance and Audit Committee be approved.

Board Order 22-13
Upon motion by Regent Mason, seconded by Regent Winston, with all members voting aye, it was ordered that the following financial affairs item be approved.

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

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

Follow-up Audit
Early Childhood Laboratory Audit
Public Funds Investment Act Audit
Update on Audit Plan
Budget Special project
Update on August 31, 2021, Annual Financial Report External Review
Recap on August 31, 2020, Annual Financial Report External Review

Board Order 22-14
Upon motion by Regent Mason, seconded by Regent Winston, with all members voting aye, it was ordered that the following financial affairs item be approved.

BANNER HARDWARE AND ORACLE LICENSING CONTRACT

WHEREAS, the board members considered: The ITS Exadata hardware is an Oracle built hardware environment that is highly tuned for running Oracle databases. A number of Oracle databases run in this environment, including the Banner system, mySFA portal and imaging solution ImageNow. This environment also provides flexibility to add additional databases as new software packages are added and existing software packages monitored in ITS. The hardware that makes up our Exadata environment will reach end-of-life and will no longer be supported. The Exadata hardware upgrade is needed to help ensure the stability and performance of our enterprise systems that rely on this environment to run. This environment has been successful at allowing us to consolidate our Oracle databases into one secure environment as opposed to having several Oracle databases spread across the campus managed by personnel of varying experience and abilities. It has also been successful at providing the processing power needed to serve all our applications' database needs. The request also includes Oracle database licensing for the duration of the contract.

THEREFORE, it was ordered that a 4-year contract for the renewal of the ITS Exadata hardware environment and Oracle licenses with RFD and Associates, Inc. at a cost not to exceed $1,800,000 be approved. The source of funds for this system will continue to be HEF and will not require an

increase to current HEF budget. The president is authorized to sign purchase orders and contracts of $500,000 or more.

Board Order 22-15
Upon motion by Regent Mason, seconded by Regent Henderson, with all members voting aye, it was ordered that the following financial affairs item be approved.

GRANT AWARDS

WHEREAS, the board members considered: In fiscal year 2021, the University received multi-year grant awards totaling $108,458,662. Of that total, grants awarded allocable to fiscal year 2021 were $34,109,561, an increase of $1,468,124 since the last report. For fiscal year 2022, the multi-year grant award total is currently $76,821,287. Of this total, grant awards allocable to fiscal year 2022 are currently $26,937,065. The grant awards result from extensive faculty research and service engagement across many academic disciplines. The grants include direct federal, federal pass through, state and private awards.

THEREFORE, it was ordered that that the additional fiscal year 2021 grant awards that total $1,468,124 and grant awards for fiscal year 2022 that total $26,937,065 be approved and ratified as presented in Appendix 2.

Board Order 22-16
Upon motion by Regent Mason, seconded by Regent Alders, with all members voting aye, it was ordered that the following financial affairs item be approved.

CHANGES TO FY 2022 CAPITAL AND HIGHER EDUCATION FUND BUDGET SCHEDULE

WHEREAS, the board members considered: The Board of Regents approved the fiscal year 2021-22 institutional operating budget at the July 2021 board meeting. A detailed Capital and Higher Education Fund (HEF) Schedule was also presented in association with the operating budget. Changes to the Capital and HEF schedule are required to reflect changes in budgetary needs, estimated costs, and use of contingency funds.

<u>Debt Service</u> The Debt Service Energy Conservation Plan Phases 1 and 2 were paid off in FY21 and therefore will not be needed for debt service in FY22. These funds in the amount of $29,222 and $65,993 respectively will be moved to the HEF Contingency for a total increase of $95,215.

<u>Dining Plan Software</u> This planned purchase primarily supports Pledged Auxiliary and is therefore ineligible for HEF funding. The funding of $15,000 will be moved to the HEF Contingency.

<u>Cloud-Based Software</u> This planned expenditure primarily supports the Office of Development and is therefore ineligible for HEF funding. The funding of $60,000 will be moved to the HEF Contingency.

<u>Shuttle Bus</u> The physical plant and parking services operate daytime and evening shuttle service for the convenience and safety of the students, faculty, staff and visitors to the campus. The shuttle service runs Sunday through Friday each week during the fall and spring semesters and on special

occasions. The shuttle service operating hours are from 7:00 a.m. to 1:00 a.m. during routine operation. During peak use periods there are four buses in the shuttle fleet.

Recently, a 2012 Ford F-150 shuttle with 122,398 miles blew an engine and is beyond repair. This has resulted in a strain on the remaining fleet and a reduction of services. HEF contingency funds are requested to purchase a new shuttle bus with SFA branded wrapping is requested in an amount not to exceed $140,000.

Police Vehicles The university police department provides comprehensive police, parking and emergency management services 24 hours a day, seven days a week. The department currently has eleven police vehicles in their fleet. The age of the fleet ranges from two to fourteen years with five of the vehicles having over seventy thousand miles each.

HEF contingency funds are requested to purchase two new vehicles with the appropriate outfitting at an amount not to exceed $57,000 each, for a total of $114,000.

THEREFORE, it was ordered that the changes to the FY2022 Capital and Higher Education Fund Schedule to: 1) Reallocate funding for Debt Service Energy Conservation Plan Phases 1 and 2 and increase HEF Contingency by $110,215; 2) Reallocate funding from Dining Plan Software and increase HEF Contingency by $15,000; 3) Reallocate funding from Cloud-Based Software and increase HEF Contingency by $60,000; 4)Reallocate HEF Contingency funds to purchase a new shuttle bus with SFA branded wrapping at a cost not to exceed $140,000; and 5) Reallocate HEF contingency funds to purchase two police vehicles, outfitted for service at a cost not to exceed $57,000 per vehicle, be approved. The president is authorized to sign associated purchase orders and contracts as necessary.

Board Order 22-17
Upon motion by Regent Mason, seconded by Regent Olson, with all members voting aye, it was ordered that the following financial affairs item be approved.

MEDIA BUYING CONTRACT

WHEREAS, the board members considered: The University issued a Request for Proposal (RFP) to seek qualified firms to assist the University with services related to digital advertising and online presence. Minimum service requirements included planning, production, analysis and media buying to achieve a variety of campaign objectives and negotiate cost-effective media schedules to reach target audiences at the lowest possible cost to the university. Respondents were expected to demonstrate knowledge of current media trends, appropriate media mixes and distribution priorities, as well as success benchmarks. A secondary goal is to build engagement with the brand through awareness media to generate consideration of SFA.

There were two respondents to the RFP and the evaluation committee recommends to award a contract with Love Advertising. Love Advertising's proposal is based on a 12% media commission fee, with no additional charges for phone calls or other communications, with a goal to increase enrollment utilizing early-in-the-funnel media tactics to drive website traffic, inquiries and applications, focusing on East Texas, Houston, the Dallas-Fort Worth area and Austin. The source of funds is designated funds such as designate tuition or university services fee.

THEREFORE, it was ordered the approval of the selection of Love Advertising to assist the University with services related to media buying and digital presence for a one-year period of time, with the option to extend one-year periods each year for up to four (4) additional periods at the option of SFA. The administration further recommends the president be authorized to sign all associated contracts and purchase orders, including contract amendments, for a total contract amount not to exceed $250,000 in any one year and not to exceed $1,250,000 in total over a possible five-year contract period.

Board Order 22-18
Upon motion by Regent Mason, seconded by Regent Winston, with all members voting aye, it was ordered that the following financial affairs item be approved.

FINANCE AND AUDIT POLICY REVISIONS

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

Compliance 2.12
Ethics 2.6
Fraud 2.7
Private Support Organizations or Donors 3.25

REPORTS

President, Dr. Scott Gordon discussed the following topics.

University Marketing and Communications
Housing
Comprehensive Campaign
Hanover Brand Perception Study
Diversity Ambassadors
Distinguished High Schools
Athletics
Legislative Update
IT Update
Finance and Administration Update

Faculty Senate Chair, Brian Uriegas reported on the following topics.

Faculty Accomplishments
Senate Work Fall 2021
Senate Statement on Communication
Opportunity for Questions

Staff Council Chair, Megan Weatherly presented on the following topics

Staff Council's Formation Timeline
Introduction of Staff

Introduction of Staff Council Officers
Organization Mission, Purpose and Values
Completed Actions
Future Actions

Student Government Association President, Laura Roach discussed the following topics.

Student Leadership Advisory Board
Lunch with the President
Athletics Send-Off
UPD Safety Walk
SGA Recruitment

Chair Gantt reported that the University Financial Council held the initial meeting on October 14, 2021 and has taken the first step to start gathering data.

Chair Gantt announced the following special committee appointments.

INTERCOLLIEGATE ATHLETIC ADVISORY COMMITTEE

Brigettee Henderson, Chair,
Jenn Winston
Joe Max Green
Karl Lindekugel
Scott Coleman
Trey Henderson
Bob Garrett

The Intercollegiate Athletic Advisory Committee (IAAC) advises the Board of Regents and the president of Stephen F. Austin State University on practices of the athletic department as it relates to long range planning of intercollegiate athletics. Specifically, the committee is charged with advising the board, the president and the athletic director on the internal and external practices of the athletic department, with specific interest on facility planning, funding, and athletic experiences for external constituents.

NOMINATING COMMITTEE

David Alders, Chair
Brigettee Henderson
Judy Olson

The Nominating Committee shall consist of three members. This committee shall be appointed annually prior to the January meeting by the chair for the purpose of nominating board officers for election at the January meeting.

The meeting of the Board of Regents adjourned at 3:11 p.m.

Appendix 1

Policy Name	Policy Number	Page
Acceptable Use of Information Resources	14.2.	1
Assessment of Institutional Effectiveness	2.3.	8
Authorization for University President to Suspend Faculty and Staff	11.3.	10
Campus Facilities for Political Purposes	16.8.	12
Compliance	2.12.	15
Electronic Personnel Action Form	11.8.	21
Ethics	2.6.	23
Financial Aid Code of Conduct	4.7.	35
Fraud	2.7.	43
Illicit Drugs and Alcohol Abuse	13.11.	49
Leaves of Absence and Miscellaneous Leave Faculty and Staff	12.11.	61
Moving Expenses	3.23.	71
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Workplace Accommodations for Lactation and Breastfeeding	11.33.	138

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Acceptable Use of Information Resources

Policy Number: 14.2

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

Date of last revision, if applicable: 10/29/2018

Unit(s) Responsible for Policy Implementation: ITS

Purpose of Policy (what does it do): Stephen F. Austin State University (SFA) supports the responsible use of its information resources. This policy ensures all SFA employees accessing SFA Information Resources are aware of the duties and responsibilities in place to protect SFA Information Resources

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Minor revisions for clarity

Reviewers:

Anthony Espinoza, Chief Information Officer
Mike Coffee, Deputy Chief Information Officer
Brandon Stringfield, Chief Information Security Officer
Damon Derrick, General Counsel

Acceptable Use of Information Resources

Original Implementation: October 29, 2018
Last Revision: ~~None~~*November 1, 2021*

POLICY STATEMENT

Stephen F. Austin State University (SFA) supports the responsible use of its information resources. This policy ensures all SFA employees accessing SFA Information Resources are aware of the duties and responsibilities in place to protect SFA Information Resources. The use of Information Resources is provided for the purpose of supporting the mission of SFA. All SFA employees should act responsibly to maintain the integrity of SFA Information Resources. All SFA employees will abide by all existing SFA codes of conduct as well as applicable local, state and federal statutes.

SCOPE

All SFA employees granted access to or use of SFA Information Resources must be aware and agree to abide by the acceptable use requirements set out in this policy.

DEFINITIONS

Confidential Data (Category I) – Data that is considered confidential and must be protected from unauthorized disclosure or public release based on state or federal law, (e.g. the Texas Public Information Act, Family Educational Rights and Privacy Act, Health Insurance Portability and Accountability Act) and other constitutional, statutory, judicial, and legal requirements. For more information and examples see the Informational Technology Services (ITS) Policy Handbook located on the ITS website.

Chief Information Security Officer (CISO) – Staff member responsible for providing and administering the overall information security program for the university.

Data – Information which is recorded, regardless of form or media, and used to support the mission of the university, whether in an administrative, teaching or research capacity. Data may be saved or transmitted in hard copy (printed or written), digital/electronic (including video, audio, images) or other formats.

Data Classification – ~~Data is~~*Data is* classified as Category I (confidential), Category II (protected) or Category III (public), with each category subject to its own protection requirements and processes. More information, including definitions, protection requirements and examples of data are included in the ITS Policy Handbook.

Data Owner – The university employee responsible for the administrative function supported by the Information Resource or the individual upon whom responsibility rests for carrying out the program using the Information Resources. A listing of Data Owners is contained in the ITS policy handbook.

Information Resources – The procedures, equipment, facilities, software, and data that are designed, built, operated, purchased, and maintained to create, collect, record, process, store, retrieve, display, and transmit information. This may include, but is not limited to, any and all computer printouts, online display devices, mass storage media, and all computer-related activities involving any device

capable of receiving email, browsing websites, or otherwise capable of receiving, storing, managing, or transmitting data including, but not limited to, mainframes, servers, personal computers, notebook computers, hand-held computers, mobile devices, pagers, distributed processing systems, network attached and computer controlled medical and laboratory equipment (e.g., embedded technology), telecommunication resources, network environments, telephones, fax machines, printers and hosted services.

Mobile Device – General term for any handheld computing device or smartphone such as tablet, e-reader, smartphone, PDA or portable music player with smart capabilities and which runs a mobile device operating system, i.e. non-enterprise operating system.

Portable Computer – A laptop, *or* notebook, ~~or Surface Pro,~~ which is capable of running *a*~~o~~n enterprise operating system.

Protected Data (Category II) – Data that may be subject to disclosure or release under the Texas Public Information Act but requires additional levels of protection. For more information and examples see the ITS Policy Handbook.

Public Data (Category III) – Information intended or required for public release by the Texas Public Information Act. For more information and examples see the ITS Policy Handbook.

User – An individual who is authorized by the Data Owner to access the Information Resource, in accordance with the Data Owner's procedures and rules. The User is any person who has been authorized by the Data Owner or SFA representative to access, read, enter, or update that information whether done individually or through facilitation or responsibility for an automated application or process. The User is the single most effective control for maintaining adequate security.

RESPONSIBILITIES

Chief Information Security Officer (CISO)

- Reviews the Acceptable Use Policy annually to ensure consistency with all applicable rules, regulations, and federal/state/local laws.
- Reviews and approves the contents of compliance training related to Acceptable Use Policy.
- Administers the overall information security program.

Human Resources

- Ensures the materials and acknowledgements are included and recorded during the course of the compliance training. Maintains records of training and notifies users of training requirements.

Data Owner

- Authorizes access to the Information Resource.
- In the event that the Data Owner is also the User, then the Data Owner is also responsible for compliance with User responsibilities as specified below.

User

- Reviews and acknowledges understanding and acceptance of the Acceptable Use Policy during annual security training.
- Uses the Information Resource only for the purpose specified by the Data Owner.
- Complies with controls established by the Data Owner.

- Prevents any prohibited disclosure of Category I or Category II data. This data may be disclosed pursuant to a court order or other legal finding as directed by the CISO and General Counsel.

GENERAL

1. SFA Information Resources are provided for the purpose of supporting the mission of SFA. However, Users are permitted to use SFA Information Resources for use that is incidental to the User's official duties to SFA (Incidental Use) as permitted by this policy.
2. Users have no expectation of privacy regarding any SFA data residing on SFA owned computers, servers, or other information resources owned by, or held on behalf of, SFA.
3. Users have no expectation of privacy in regard to any personal information stored by a User on SFA Information Resource including SFA email accounts.
4. Users will exercise responsible, ethical behavior when using SFA's Information Resources. SFA reserves the right to limit, restrict or extend privileges and access to its resources.
5. SFA may access and monitor its Information Resources for any purpose consistent with the university's duties and/or mission without notice.
6. All Users must comply with applicable SFA Information Security policies at all times.
7. Users shall not circumvent SFA computer or information security measures.
8. Users should report misuse of SFA Information Resources or violations of this policy to their supervisors, the CISO or EthicsPoint.
9. The unauthorized deletion or alteration of information or data of others, misuse of system resources, and misuse of system resources by others are prohibited.
10. The owner or designated custodian of a computer that is attached to the SFA network is responsible for the security of the computer.
11. Users are responsible for any activities to or from the network connections and all network activity originating from their equipment.
12. All employees who access SFA information resources must complete compliance and security awareness training annually.

CONFIDENTIALITY AND SECURITY OF DATA

1. Users shall access SFA data only to conduct authorized university business and only as permitted by applicable confidentiality and privacy laws. Users must not attempt to access data on systems they are not expressly authorized to access.
2. Users shall maintain all records containing SFA data in accordance with the university's Records Retention Policy and Records Management Guidelines.
3. SFA data can only be stored or processed on cloud services provided or sanctioned by ITS. Storing or processing SFA data in a personally obtained cloud service is prohibited.
4. Users shall not disclose Confidential Data except as permitted or required by law and only as part of their official SFA duties.
5. All SFA confidential data must be stored on university provided equipment purchased by SFA or cloud services sanctioned by ITS.
6. All computers connecting to *the*~~a~~ SFA network must run security software provided by ~~the~~ ITS as necessary to properly secure SFA Information Resources.

7. Devices determined by ITS to lack required security software or otherwise pose a threat to SFA Information Resources may be immediately disconnected by the Information Security Office from a university network without notice.
8. Confidential data stored on portable storage devices must be encrypted.

SOFTWARE COPYRIGHT

1. Software provided through the university for use by SFA employees will be used on computing equipment only as appropriate to the specific software licenses and will not be copied except as specifically permitted by the software license, e.g., to create a backup copy.
2. SFA employees may not use unlicensed or unauthorized copies of software on university-owned computers or any computer connected to the university network.
3. The user is responsible for ensuring and documenting via a license agreement or proof of purchase that the software used on the computer is licensed.
4. The user is responsible for ensuring and documenting the number of software license/s purchased are not exceeded and do not violate copyright law.
5. The university may audit software on university-owned equipment without notice.

EMAIL

1. Emails sent or received by Users in the course of conducting SFA business are considered SFA data that are subject to state records retention and security requirements.
2. Users are to use SFA provided email accounts, rather than personal email accounts, for conducting SFA business. The assigned SFA email account is considered an official method of communication from SFA, and all SFA employees are responsible for the email message content.
3. All email messages of a personal nature sent by faculty, staff, and retirees using an SFA email address must contain the following disclaimer: “The views and opinions expressed in this message are my own and do not necessarily reflect the views and opinions of Stephen F. Austin State University, its Board of Regents, or the State of Texas.”
4. The following email activities are prohibited when using a SFA provided email account:
   a. Sending an email under another individual's name or email address, except when authorized to do so by the owner of the email account for a business related purpose.
   b. Accessing the content of another User's email account except:
      i. As part of an authorized investigation;
      ii. As part of an approved monitoring process; or
      iii. For other purposes specifically associated with the User's official duties on behalf of SFA.
   c. Sending or forwarding any email that is suspected by the User to contain computer viruses.
   d. Any use prohibited by applicable SFA policy.
5. Email access will be removed on the last day of employment, unless special authorization has been granted by the appropriate SFA staff *and the employees*’ *supervisor.*~~.~~

INCIDENTAL USE OF INFORMATION RESOURCES

1. Incidental Use of SFA Information Resources must not interfere with a User's performance of official SFA business, result in direct costs to SFA, or expose SFA to unnecessary risks.
2. A User's incidental personal use of a SFA Information Resources does not extend to the User's family members or others regardless of where the Information Resources are physically located.
3. Incidental Use to conduct, support, or promote the User's outside employment, including self-employment, is prohibited.
4. Incidental Use for purposes of political lobbying or campaigning is prohibited.
5. Files not related to SFA business or in support of the SFA mission may not be stored on network file servers.

REQUIREMENTS FOR PORTABLE AND REMOTE COMPUTING

1. All electronic devices including personal computers, smart phones or other devices used to access, create or store SFA Information Resources, including email, must be password protected in accordance with SFA requirements, and passwords must be changed whenever there is suspicion that the password has been compromised.
2. SFA issued mobile computing devices must be encrypted and must have a lock screen enabled.
3. Unattended portable computers, smart phones and other computing devices must be physically secured.
4. All remote access to networks owned or managed by SFA must be accomplished using a remote access method approved by the Information Security Office, as applicable.
5. SFA employees should utilize information security best practices when using personal computing devices to conduct SFA business.

ACCOUNT AND PASSWORD MANAGEMENT

1. SFA issued or required passwords, including digital certificate passwords, Personal Identification Numbers (PIN), Digital Certificates, Security Tokens (i.e. Smartcard), or similar information or devices used for identification and authorization purposes shall be maintained securely and shall not be shared or disclosed to anyone.
2. Each User is responsible for all activities conducted using the User's account or other credentials.
3. It is the responsibility of all individuals using SFA's Information Resources to protect the privacy of their account(s). Personal account information should not be released to friends, relatives, roommates, etc.
4. All individuals using SFA Information Resources are prohibited from using a computer account for which they are not authorized, or obtaining a password for a computer account not assigned to them.

IMPLIED CONSENT & LIABILITY RELEASE

All individuals with access to SFA Information Resources are responsible for their appropriate use. Such use constitutes an agreement to comply with applicable SFA policies and regulations, city,

state, and federal laws and regulations, and with applicable policies of the affiliated networks and systems.

COMPLIANCE
All SFA employees are required to comply with this policy. SFA reserves the right to deny, limit, restrict or extend privileges and access to its Information Technology Accounts and Systems.

Cross Reference: 1 Tex. Admin. Code Ch. 202; Information Security Management (14.1); ITS Policy Handbook

Responsible for Implementation: ~~Vice President for University Affairs~~*Chief Information Officer*

Contact for Revision: Chief Information Security Officer

Forms: None

Board Committee Assignment: Academic and Student Affairs

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Assessment of Institutional Effectiveness

Policy Number: 2.3

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

Date of last revision, if applicable: 10/29/2018

Unit(s) Responsible for Policy Implementation: Student Learning & Insti. Research

Purpose of Policy (what does it do): Used to enhance overall university quality and effectiveness for research-based planning.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: (1) recommended abbreviate title to clarify the nature of the policy; (2) updated cross-references to current SACSCOC standards; 3) enhanced explanation of the necessity of institutional effectiveness and continuous improvement; (4) updated the Contact for Revision.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Deans Council
Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
Damon Derrick, General Counsel

~~Assessment of~~ Institutional Effectiveness

Original Implementation: Unpublished
Last Revision: ~~October 29, 2018~~*November 1, 2021*

Stephen F. Austin State University ~~(SFA)~~ *will* adhere~~s~~ to principles of continuous improvement based on systematic and documented processes of *planning, executing, and evaluation* ~~assessment~~ aligned with the mission of the institution. *Institutional effectiveness is broad in scope, encompassing strategic planning and university initiatives through unit level improvement objectives and academic program learning outcomes. The continuous improvement process provides a mechanism that allows the university to identify broad goals and tangible outcomes and discern if progress towards the goals and outcomes is being made and if corrections are required.* ~~Assessment of i~~*I*nstitutional effectiveness involves all programs, services, and constituencies; is linked to decision-making at all levels; and provides a basis for budgetary and resource allocations.

The university conducts ongoing*, comprehensive,* integrated, research-based*, and systematic* planning to enhance overall institutional quality and effectiveness. During the planning process, expected outcomes are identified and action plans are designed to improve institutional effectiveness and performance. Following implementation of the action plans, results are assessed.

Cross Reference: *SACSCOC Core Requirement 7.1, Standard 7.2, Standard 7.3, and Core Requirement 8.1*~~SACSCOC CR2.5 (2012) and SACSCOC R7.1(2017)~~

Responsible for Implementation: President

Contact for Revision: Director, ~~Student Learning and Institutional Assessment~~*Office of Institutional Effectiveness*

Forms: None

Board Committee Assignment: Academic and Student Affairs

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Authorization for the University President to Suspend Faculty and Staff

Policy Number: 11.3

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

Date of last revision, if applicable: 10/29/2018

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): This policy mirrors the Board Rules and Regulations prescribing when the university may suspend faculty and staff.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

No changes.

Reviewers:

Damon Derrick, General Counsel

Appendix 1

Authorization for the University President to Suspend Faculty and Staff

Original Implementation: April 27, 1970
Last Revision: ~~October 29, 2018~~*November 1, 2021*

Without prior notice or hearing, the president of the university may suspend with or without pay and immediately remove from the university, or assign to other duties with pay, any employee who:

1. poses a continuing danger to persons or property;
2. disrupts the orderly operation of the university;
3. endangers the education of students;
4. has been convicted by a trial court of any felony or a crime of moral turpitude.

The president shall, as soon as possible, notify the general counsel of such action. In such cases the president will set a hearing before the appropriate administrator or committee on the employee's case as soon thereafter as is practical unless otherwise waived by the employee.

Cross Reference: Board of Regents Rules and Regulations

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Campus Facilities for Political Purposes

Policy Number: 16.8

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

Date of last revision, if applicable: 10/29/2018

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

Purpose of Policy (what does it do): This policy establishes the parameters for use of campus facilities for political purposes.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor revisions.

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Campus Facilities for Political Purposes

Original Implementation: April 27, 1970
Last Revision: ~~October 29, 2018~~*November 1, 2021*

Purpose

This policy establishes the parameters for use of campus facilities for political purposes.

General

~~While the use of the facilities of the university for partisan political assemblies and meetings is not normally encouraged, the faculty and administration, as members of a learned and honorable profession, may properly exercise their acknowledged individual rights and obligations of citizenship free of university discipline or censorship~~*As a state-supported institution of higher education, Stephen F. Austin State University is required to remain neutral in partisan political activities. –Individual faculty, staff and students enjoy all constitutional rights and privileges regarding freedom of speech and participation in political events subject to reasonable restrictions regarding time, place and manner.*

*Non-institutionally affiliated entities, including i*ndividual political candidates and their election organizations, are not permitted to reserve a university facility for campaign activities. However, if a candidate is invited by a university group, then he/she may appear in the facility, provided that the group extending the invitation is responsible for reserving the facility and meeting the costs related to the event.

~~No member of the Board of Regents shall undertake to influence the political opinions of personnel subject to the board's jurisdiction, but such personnel are requested to exercise their individual rights or citizenship or academic freedom in a responsible manner reasonably calculated not to identify or associate with the university.~~

A university *officer or* employee may not use his/her official authority or influence to coerce the political action of a person or body.

Cross Reference: ~~Board of Regents Rules and Regulations;~~ Tex. Gov't Code § 556~~.004~~*; Tex. Educ. Code 51.9315; Expressive Activities (16.4)*

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Building and Grounds

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Compliance

Policy Number: 2.12

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

Date of last revision, if applicable: 7/23/2019

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Policy describes and implements the university's compliance program.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Updates to committee member listings.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Compliance Coordinating Committee
Executive Oversight Compliance Committee
Gina Oglesbee, Chief Audit Executive
Damon Derrick, General Counsel

Compliance

Original Implementation: July 26, 2016
Last Revision: ~~October 26, 2020~~*November 1, 2021*

INTRODUCTION

This policy sets forth the rules governing the creation, implementation, and periodic evaluation of an institutional compliance program for the university. The program is designed to provide a framework for promoting an organizational culture that: (1) promotes a commitment to ensure the highest level of compliance with all applicable laws and regulations, institutional policies, procedures and other rules governing higher education, including research and health care to the extent applicable and (2) prevents and detects criminal conduct or other conduct inconsistent with an effective compliance program.

DEFINITIONS

A. University - Stephen F. Austin State University (SFA) and all of its components, regardless of the source of funding.
B. Employee - All persons receiving compensation from the university, including faculty, staff, and students. The term also includes any volunteer who provides services to the university through an official arrangement with the university or a university organization.
C. Substantial authority personnel - high-level personnel or individuals who exercise substantial discretion when acting within the scope of their authority.

COMMITTEES

SFA utilizes two committees: Executive Oversight Compliance Committee and Compliance Coordinating Committee.

EXECUTIVE OVERSIGHT COMPLIANCE COMMITTEE

The Executive Oversight Compliance Committee's primary function is to direct policy and instill the importance of compliance in the university community. This committee monitors progress on key compliance initiatives, reviews updates on compliance developments and best practices, and allocates resources as necessary to achieve the compliance program goals. Its members consist of:

1. President
2. Provost ~~&~~ *and Executive* Vice President for Academic Affairs
3. Vice President of ~~University~~ *Student* Affairs
4. Vice President for Finance and Administration
5. Vice President for University Advancement
6. Director of Governmental Relations
7. Executive Director of Enrollment Management
8. Chief Diversity Officer

9. Chief Information Officer
10. Director of Intercollegiate Athletics
~~10.~~*11.* *Chief Marketing Communications Officer*
~~11.~~*12.* Chief Audit Executive (advisory)
~~12.~~*13.* General Counsel

In exercising its overall responsibility for the university's compliance program, the Executive Oversight Compliance Committee shall be regularly briefed by the chair of the Compliance Coordinating Committee about the content and operation of the program, and also when criminal conduct is discovered.

The Executive Oversight Compliance Committee shall take reasonable steps to:

1. Not include within the substantial authority any individual who has engaged in illegal activities or other conduct inconsistent with an effective compliance program.
2. Communicate periodically and in a practical manner the standards and procedures of the compliance program by conducting effective training programs and otherwise disseminating information appropriate to the respective roles and responsibilities of the entire university community involved in the compliance program. Such training may include informal staff meetings, and monitoring through regular "walk-arounds" or continuous observation while managing a designated compliance area.
3. Ensure that the compliance program is followed including monitoring and auditing to detect illegal activities or other conduct inconsistent with an effective compliance program.
4. Have and publicize a system, which may include mechanisms that allow for anonymity or confidentiality, whereby university employees and agents may report or seek guidance regarding potential or actual criminal conduct or other conduct inconsistent with an effective compliance program without fear of retaliation.
5. Consistently promote and enforce the compliance program throughout the university through appropriate incentives for performing in accordance with the program, and appropriate disciplinary measures for engaging in criminal conduct or other conduct inconsistent with an effective compliance program and for failing to take reasonable steps to prevent or detect such conduct.
6. Respond appropriately after criminal conduct or other conduct inconsistent with an effective compliance program has been detected, including making any necessary modifications to the compliance program to prevent further similar conduct.
7. Assess the risk of criminal conduct or other conduct inconsistent with an effective compliance program and take appropriate action to design, implement, or modify the program to reduce the risk of such conduct identified through this process at least annually.

COMPLIANCE COORDINATING COMMITTEE

The Compliance Coordinating Committee's primary function is to oversee the implementation of the compliance program throughout the university. This committee disseminates information about compliance updates and activities to the responsible parties and keeps those individuals updated on any changes in laws or regulations and makes recommendations to the Executive Oversight Compliance Committee. Its members consist of:

1. General Counsel (Chair)
2. Chief Audit Executive (Advisory)
3. Assistant General Counsels
4. Coordinator of Board Affairs/Compliance
5. Assistant Athletic Director for Compliance
6. Controller
7. Director of Procurement and Property Services
8. Director of Human Resources
9. Director of Environmental Health, Safety, and Risk Management
10. Deputy Chief Information Officer
11. Chief of Police
12. Registrar
13. Director of Financial Aid
14. Compliance Coordinator - Research
15. Chair of the Chairs Forum
16. Chair of the Academic Affairs Policy Committee
17. Executive Director of Development
18. ~~Dean of Student Affairs~~*Assistant Vice President of Student Affairs and Dean of Students*
19. Title IX Coordinator
20. ADA Coordinator
21. *Associate Director of Admissions*
22. *Associate Vice President for Finance and Administration*

The Compliance Coordinating Committee shall be provided adequate resources and appropriate authority to carry out its duties and responsibilities.

A. The General Counsel shall chair the Compliance Coordinating Committee and shall regularly brief the Executive Oversight Compliance Committee and the Board of Regents about the content and operation of the university's compliance program, and also when criminal conduct is discovered.
B. The Compliance Coordinating Committee will utilize a Compliance Matrix to assist the responsible committee members in carrying out their duties. The matrix is designed to further the coordination and documentation efforts of existing and ongoing compliance initiatives and is broken down into different compliance areas assigned to the committee member responsible for ensuring compliance, representative issues associated with the compliance area as well as the applicable laws.
~~C. Compliance Calendars will be generated by the Compliance Coordinating Committee and distributed to the committee members. The calendars will aid in tracking the myriad reporting requirements and due dates~~
~~D.~~*C.* The Compliance Coordinating Committee, through its members, shall assist the Executive Oversight Compliance Committee in training the university community which may include informal staff meetings, and monitoring through regular "walk-arounds" or continuous observation while managing a designated compliance area.
~~E.~~*D.* The Compliance Coordinating Committee is responsible for creating and maintaining a compliance web page on the university's website. At a minimum the web page will include the Compliance Matrix, ~~Compliance Calendars,~~ Compliance Coordinating Committee members,

and instructions on how to anonymously and confidentially report suspected fraud or other criminal conduct or conduct inconsistent with an effective compliance program without fear of retaliation.

~~F.~~*E.* The Compliance Coordinating Committee is responsible for implementing and operating a risk-based process that:

1. builds compliance consciousness into daily business processes,
2. monitors the effectiveness of the processes, and
3. communicates instances of non-compliance to appropriate administrative officers for action.

DEPARTMENT HEAD RESPONSIBILITY

The department head of each operating unit within the university is responsible and shall be held accountable for compliance and compliance-related activities in their respective units. The department head shall maintain documented procedures and records for their activities and areas of responsibility.

PRESIDENT'S CABINET RESPONSIBILITY

Each president's cabinet member is responsible ~~ensuring~~and shall be held accountable for compliance and compliance-related activities in their area of responsibility and will be required to certify compliance at least annually. ~~that policies and procedures are in place for the areas within their specified division are in compliance with Federal, State and Local laws. The Federal Assurances Responsible Party matrix will be managed by the~~The Dean of the Office of Research and Graduate Studies ~~and administered annually to cabinet members for certification of accuracy~~will oversee the certification of compliance assurances.~~.~~

PRESIDENT *AND CABINET MEMBERS* RESPONSIBILITY

The president *and cabinet members are* ~~is~~ responsible and shall be held accountable for:

1. the sufficiency of resources allocated to compliance activities, and
2. the appropriateness of corrective and disciplinary action taken in the event of noncompliance.

AUDIT SERVICES RESPONSIBILITY

Audit Services may provide advisory or audit services, as necessary and appropriate, to the compliance operations. The chief audit executive is responsible and shall be held accountable for:

1. independently evaluating the design and effectiveness of the various compliance functions as included on the annual audit plan,
2. making recommendations for improvements, as necessary and appropriate, and
3. reporting recommendations to the Board of Regents Finance and Audit Committee and the president.

EMPLOYEE RESPONSIBILITY

Each employee of the university shall be responsible for establishing an organizational culture that encourages compliance with its legal obligations, complying with all applicable federal and state laws and university policies and procedures, meeting and complying with any reporting requirements required by law, and complying with the mandates and standards in this policy.

REPORTING STRUCTURE

The reporting obligations set forth below are to fulfill the purposes of this policy, to enable the university to do a risk assessment to determine if additional resources should be allocated, and to assist the university to respond as needed. These requirements do not replace, change or modify applicable reporting requirements or any other action required of the university under federal or state laws or regulations.

The general counsel and chief audit executive shall report to the Executive Oversight Compliance Committee the workings of the Compliance Coordinating Committee, including agenda items, member concerns, and recommended changes in policies or procedures.

The chair of the Compliance Coordinating Committee shall promptly report to the Executive Oversight Compliance Committee any suspected compliance violation that has caused or poses an imminent risk of injury or harm to persons, property or the surrounding community, or reputational harm, as soon as possible after discovering or receiving the report of the suspected violation.

The general counsel and chief audit executive are responsible to:

1. conduct a compliance program investigation or monitor the investigation conducted by an appropriate operating unit of the suspected violation(s), and
2. as appropriate, make findings and recommendations to the chair of the Board of Regents, chair of the Finance and Audit Committee, and the president.

Cross Reference: U.S. Federal Sentencing Guidelines; Fraud (2.7)

Responsible for Implementation: President

Contact for Revision: General Counsel

Forms: None

Board Committee Assignment: Finance and Audit

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Electronic Personnel Action Form

Policy Number: 11.8

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

Date of last revision, if applicable: 2/2/2021

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

Purpose of Policy (what does it do): This policy identifies the Electronic Personnel Action Form (EPAF) as the method used to document administrative approval and to notify payroll/human resources (HR) of changes in employment status for all employees, including graduate and undergraduate students.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording and formatting changes and clarification

Reviewers:

John Wyatt, Interim Director of Human Resources
Judi Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Electronic Personnel Action Form

Original Implementation: Unpublished
Last Revision: *November 1*~~February 2~~, 2021

Purpose

This policy identifies the Electronic Personnel Action Form (EPAF) as the method used to document administrative approval and to notify payroll/human resources (HR) of changes in employment status for all employees, including graduate and undergraduate students.

General

EPAFs should be prepared for the following reasons:

1. Employment of exempt or non-exempt positions, including graduate~~ students~~ and undergraduate students;
2. A change in the employee's title, salary (outside of the annual budget process), FTE percentage, funding, department, or if an employee is being reappointed, has an overload, or is receiving *additional compensation*~~a salary supplement~~;
3. Whenever an employee is separating from employment with the university, including retirements, voluntary and involuntary terminations, and at the end of an assignment when the employee will not be returning the next semester; or
4. Reemployment of those employees not included in the budget process each fiscal year, such as grant employees.

EPAFs should be completed, electronically approved, and routed to HR before the employee starts to work, immediately at the time of the change of status, or immediately at the end of the assignment. Employees who originate and/or approve EPAFs must be trained and authorized by HR before being granted access to the EPAF through Self-Service Banner.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Electronic Personnel Action Form available through Self Service Banner

Board Committee Assignment: Academic and Student Affairs

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Ethics

Policy Number: 2.6

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

Date of last revision, if applicable: 10/29/2018

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): The policy affirms its commitment that all officers and employees will maintain high ethical standards in the performance of their official duties.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Minor edits.

Reviewers:

Damon Derrick, General Counsel

Ethics

Original Implementation: August 8, 1995
Last Revision: ~~October 29, 2018~~*November 1, 2021*

Purpose

The university affirms its commitment that all officers and employees will maintain high ethical standards in the performance of their official duties.

General

The following guidelines regarding state ethics laws for state employees are applicable to the Board of Regents, the administration, faculty and staff of the university. Other university policies that affect ethical standards include but are not limited to: ~~Discrimination Complaints~~*Nondiscrimination* (2.11); ~~Sexual Misconduct~~*Title IX* (2.13); Nepotism (11.16); Purchasing Ethics ~~and Confidentiality~~ (17.~~22~~*21*); Fraud (2.7); Discipline and Discharge (11.4); ~~Purchases from Officers or Employees (17.21);~~ and Financial Aid Code of Conduct (4.7).

Officers and employees of the university with the exception of student employees will receive annual training on the provisions of this policy.

Ethics Laws for State Officers and Employees

State officers and employees owe a responsibility to the people of Texas in the performance of their official duties. See Texas Government Code §572.001. High institutional standards and high personal standards are critical to fulfilling that responsibility. There are a variety of both civil and criminal statutes that set out the ethical responsibilities of state officers and employees. The Texas Ethics Commission is charged with interpreting, issuing advisory opinions, and enforcing certain ethics laws including Chapter 572 of the Government Code and Chapters 36 and 39 of the Penal Code. Those statutes contain provisions relating to conflicts of interest, bribery, gifts, official misconduct, and misuse of state property, among other things. Additionally, §556.004 of the Government Code contains a list of prohibited acts of agencies and individuals with regard to political activity. A variety of other Texas statutes contain specific ethics provisions applicable to state employees and officers. All employees and officers are required to abide by applicable state and federal laws and regulations regardless of whether they are specifically stated in this policy. Any employee determined to be in violation of this policy is subject to disciplinary action, up to and including termination. The general counsel should be contacted on matters arising under this policy.

1. Conflicts of Interest, Commitment, Bribery and Gifts

While the law regarding conflicts of interest may be legally complex, §572.051 of the Government Code outlines standards for state officers and employees, which if followed, should prevent most conflicts of interest from occurring. It does not provide any penalties or sanctions at law for failure to comply with the standards it sets, though in cases of egregious noncompliance a person's behavior could constitute a crime under one of the Penal Code provisions governing the conduct of state officers and employees. However, failure to comply with the standards may result in disciplinary action, up to and including termination.

The acceptance of gifts by state officers and employees is addressed in §572.051(1), which provides that a state officer or employee should not accept or solicit any gift, favor, or service that might reasonably tend to influence the officer or employee in the discharge of official duties or that the officer or employee knows or should know is being offered with the intent to influence the officer's or employee's official conduct.

A state officer or employee should never accept anything if it might make him/her do his/her job differently, or if he/she thinks the person giving it has the hope he/she will do his/her job differently. Section 572.051(5) provides, in effect, a "no tipping" rule for state officers and employees. It states that a state officer or employee should not intentionally or knowingly solicit, accept, or agree to accept any benefit for having exercised the officer's or employee's official powers or performed the officer's or employee's official duties in favor of another.

For most state employees, compliance with §572.051(1) and (5) eliminates worry about compliance with either the Penal Code or the lobby law with respect to the acceptance of gifts.

Section 572.051(2), (3), and (4) states that state officers and employees should not engage in economic activities even on their own time that might affect decisions at their state job, or that might lead them to disclose confidential information learned on the job. Simply put, state officers and employees should not engage in business or investments that might make them want to do their state job differently. Additionally, university policy requires university approval prior to engaging in outside employment. If approved, performance of the employee’s responsibilities to the university is paramount and outside work must assume a position secondary to university responsibilities. See Outside Employment (11.19).

Section 572.051(2), (3) and (4) of the Government Code specifically reads as follows:

572.051. STANDARDS OF CONDUCT; STATE AGENCY ETHICS POLICY.

(a) A state officer or employee should not:

(2) accept other employment or engage in a business or professional activity that the officer or employee might reasonably expect would require or induce the officer or employee to disclose confidential information acquired by reason of the official position;

(3) accept other employment or compensation that could reasonably be expected to impair the officer’s or employee’s independence of judgment in the performance of the

officer's or employee's official duties;

(4) make personal investments that could reasonably be expected to create a substantial conflict between the officer's or employee's private interest and the public interest.

Added by Acts 1993, 73rd Leg., ch. 268, Sec. 1, eff. Sept. 1, 1993.
Amended by: Acts 2007, 80th Leg. R.S., Ch. 629, Sec. 1, eff. September 1, 2007

The Texas Penal Code also includes provisions regarding conflicts of interest, bribery and gifts. A state employee commits the offense of bribery if he intentionally or knowingly solicits, offers, or accepts a "benefit" in exchange for his decision, opinion, recommendation, vote, or other exercise of discretion as a state employee. Penal Code §36.02.

Most state employees are subject to a prohibition on the acceptance of "benefits." Penal Code §36.08. For example, an employee of a regulatory agency may not accept a benefit from a person the employee "knows to be subject to regulation, inspection, or investigation by the public servant or his agency." *Id*. §36.08(a). Also, an employee of a state agency who exercises discretion in connection with contracts, purchases, payments, claims, or other pecuniary transactions may not accept a benefit from a person the employee knows is "interested in or likely to become interested in any contract, purchase, payment, claim, or transaction involving the exercise of his discretion." *Id*. §36.08(d). These prohibitions apply regardless of whether the donor is asking for something in return.

The statutory definition of "benefit" is "anything reasonably regarded as pecuniary gain or pecuniary advantage." Penal Code §36.01(3). In advisory opinions, the Ethics Commission has stated that the following gifts may be benefits: a $50 clock, a hotel room, a hunting trip, football tickets, a $160 rifle, and a $60 restaurant meal. Ethics Advisory Opinions Nos. 97, 94, 90, 69, 60 (1992). Benefits such as food, lodging, transportation, football tickets, etc., may however be permissible if accepted as a "guest." Penal Code §36.10(b). To accept something as a guest, the donor must be present.

Other advisory opinions have concluded that certain items are not benefits. A cup of coffee is not a benefit. Ethics Advisory Opinion No.118 (1993). Small amounts of perishable food delivered to government offices are generally not benefits. Ethics Advisory Opinion No. 62 (1992). Trinkets of minimal value such as coffee mugs, key chains, and "gimme" caps are generally not benefits. Ethics Advisory Opinion No. 61 (1992). A plaque is not a benefit. Ethics Advisory Opinion No. 36 (1992). Of course, a state officer or employee may accept a gift from a person such as a friend, relative, or business associate with whom he/she has a relationship independent of that official status if the gift is given on account of that relationship rather than the officer's or employee's official status. Penal Code §36.10(a)(2).

Honoraria may also be considered as gifts or benefits under the Penal Code. A state officer or employee may not solicit, agree to accept, or accept an honorarium in consideration for services he/she would not have been asked to provide but for his/her official position. Penal Code §36.07. Thus, for example, the officer or employee may not take a speaker's fee for

speaking in his official capacity. Although questions about honoraria come up most frequently in regard to speeches, the prohibition applies to fees or gifts for any service that the officer or employee would not have been asked to provide but for his official position. It is permissible to accept food, transportation, and lodging in connection with a speech or other service performed in an official capacity.

Except as otherwise permitted by law or policy, university employees are prohibited from having a direct or indirect financial or other interest, engaging in a business transaction or professional activity, or incurring any obligation that is in substantial conflict with the proper discharge of their duties. This includes, but is not limited to, engaging in non- employment related activities that interfere with the employee's duties and responsibilities to the university.

2. Official Misconduct and Misuse of State Property

A state employee would commit an offense if, with intent to obtain a benefit or harm another, he/she intentionally or knowingly violated a law relating to his/her office or employment. Penal Code §39.02(a)(l). This catchall prohibition applies to any violation of a law relating to the employee's state employment. This means, for example, that a violation of a rider to the Appropriations Act, done with intent to obtain a benefit or harm another, could be the basis of a criminal prosecution.

Also, an officer or employee would commit an offense if, with intent to obtain a benefit or harm another, he/she misapplied anything of value belonging to the government that has come into his/her custody or possession by virtue of his/her state employment. Penal Code §39.02(a)(2). This provision is the basis for criminal prosecutions regarding the misuse of state property for personal use or otherwise. Additionally, university policy 17.14, Property Inventory and Management, and Government Code § 2203.004 specifies that university property may only be used for state/university purposes. This includes electronic resources. See ~~Use of Electronic Information Resources~~*Acceptable Use of Information Resources* (~~16.32~~*14.2*).

Under Government Code §552.352, misuse or improper distribution of confidential information is also considered a specific type of crime involving official misconduct. In addition to criminal liability, employees may be responsible for the negligent loss, damage or destruction to university property under Property Liability (16.22).

Financial Disclosure Statements

Regents and the president must file financial disclosure statements with the Texas Ethics Commission by April 30 of each year, or as otherwise required under the Government Code Chapter 572.

3. Prohibited Acts of Agencies and Individuals Regarding Political Activity

The university, its officers and employees may not use any money under its control, equipment or official authority to influence an election as prohibited by §556.004 of the Texas Government Code. Sections 556.004-.009 of the Government Code specifically read as follows:

556.004 PROHIBITED ACTS OF AGENCIES AND INDIVIDUALS.
A state agency may not use any money under its control, including appropriated money, to finance or otherwise support the candidacy of a person for an office in the legislative, executive, or judicial branch of state government or of the government of the United States. This prohibition extends to the direct or indirect employment of a person to perform an action described by this subsection.

a. A state officer or employee may not use a state-owned or state-leased motor vehicle for a purpose described by Subsection (a).
b. A state officer or employee may not use official authority or influence or permit the use of a program administered by the state agency of which the person is an officer or employee to interfere with or affect the result of an election or nomination of a candidate or to achieve any other political purpose.
c. A state employee may not coerce, attempt to coerce, command, restrict, attempt to restrict, or prevent the payment, loan, or contribution of anything of value to a person or political organization for a political purpose.
d. For purposes of Subsection (c), a state officer or employee does not interfere with or affect the results of an election or nomination if the individual's conduct is permitted by a law relating to the individual's office or employment and is not otherwise unlawful.

Added by Acts 1993, 73rd Leg., ch. 268, Sec. 1, eff. Sept. 1, 1993.
Amended by Acts 1999, 76th Leg., ch. 1498, Sec. 1, eff. Sept. 1, 1999

556.005 EMPLOYMENT OF LOBBYIST.

a. A state agency may not use appropriated money to employ, as a regular full-time or part-time or contract employee, a person who is required by Chapter 305 to register as a lobbyist. Except for an institution of higher education as defined by Section 61.003, Education Code, a state agency may not use any money under its control to employ or contract with an individual who is required by Chapter 305 to register as a lobbyist.
b. A state agency may not use appropriated money to pay, on behalf of the agency or an officer or employee of the agency, membership dues to an organization that pays part or all of the salary of a person who is required by Chapter 305 to register as a lobbyist. This subsection does not apply to the payment by a state agency of membership fees under

Chapter 81.

c. *A state agency that violates Subsection (a) is subject to a reduction of amounts appropriated for administration by the General Appropriations Act for the biennium following the biennium in which the violation occurs in an amount not to exceed $100,000 for each violation.*
d. *A state agency administering a statewide retirement plan may enter into a contract to receive assistance or advice regarding the qualified tax status of the plan or on other federal matters affecting the administration of the state agency or its programs if the contractor is not required by Chapter 305 to register as a lobbyist.*

Added by Acts 1993, 73rd Leg., ch. 268, Sec. 1, eff. Sept. 1, 1993.
Amended by Acts 1999, 76th Leg., ch. 1498, Sec. 1, eff. Sept. 1, 1999; Acts 2003, 78th Leg., ch. 249, 4.11, eff. Sept. 1, 2003.

556.0055. RESTRICTIONS ON LOBBYING EXPENDITURES.

a. *A political subdivision or private entity that receives state funds may not use the funds to pay:*
   1. *lobbying expenses incurred by the recipient of the funds;*
   2. *a person or entity that is required to register with the Texas Ethics Commission under Chapter 305;*
   3. *any partner, employee, employer, relative, contractor, consultant, or related entity of a person or entity described by Subdivision (2); or*
   4. *a person or entity that has been hired to represent associations or other entities for the purpose of affecting the outcome of legislation, agency rules, ordinances, or other government policies.*
b. *A political subdivision or private entity that violates Subsection (a) is not eligible to receive additional state funds.*

Added by Acts 1999, 76th Leg., ch, 1498, Sec. 1, eff. Sept. 1, 1999.

556.006 LEGISLATIVE LOBBYING.

a. *A state agency may not use appropriated money to attempt to influence the passage or defeat of a legislative measure. This section does not prohibit a state officer or employee from using state resources to provide public information or to provide information responsive to a request.*

Added by Acts 1997, 75th Leg., ch. 1035, Sec. 86, eff. June 19, 1997.
Amended by Acts 1999, 76th Leg., ch. 1498, Sec. 1, eff. Sept. 1, 1999.

556.007 TERMINATION OF EMPLOYMENT.

A state employee who causes an employee to be discharged, demoted, or otherwise discriminated against for providing information under Section 556.006 (b) or who violates Section 556.004 (c) or (d) is subject to immediate termination of employment.

Added by Acts 1999, 76th Leg., ch. 1498, Sec. 1, eff. Sept. 1, 1999.

556.008 COMPENSATION PROHIBITION.

A state agency may not use appropriated money to compensate a state officer or employee who violates Section 556.004(a), (b), or (c) or Section 556.005 or 556.006(a), or who is subject to termination under Section 556.007.

Added by Acts 1999, 76th Leg., ch. 1498, Sec.1, eff. Sept. 1, 1999.

556.009 NOTICE OF PROHIBITIONS.

a. A state agency shall provide each officer and employee of the agency a copy of Sections 556.004, 556.005, 556.006, 556.007, and 556.008 and require a signed receipt on delivery. A new copy and receipt are required if one of those provisions is changed.
b. A state agency shall maintain receipts collected from current officers and employees under this section in a manner accessible for public inspection.

Added by Acts 1999, 76th Leg., ch. 1498, Sec. 1, eff. Sept. 1, 1999."

As required by these statutory provisions, all employees shall receive and sign for (or electronically acknowledge receipt of) a copy of this policy as administered by the university's Department of Human Resources.

4. Disclosure Statement for Employees Involved in Purchasing, Contracting, and Investments

Section 2261.252 of the Government Code requires each employee or official involved in procurement or contract management for the university to disclose any potential conflict of interest specified by state law or university policy that is known by the employee or official with respect to any contract with a vendor or bid for the purchase of goods or services from a vendor by the university. This disclosure applies at any time during the procurement process, from the initial request for bids for the purchase of goods or services from a vendor until the completed final delivery of the goods or services, or through the term of a contract with a vendor. Additionally, this provision of state law is applicable to contracts for goods or services solicited through a purchase order if the amount of the purchase order exceeds $25,000.

As required by §2262.004 of the Government Code, university personnel who make decisions or recommendations regarding the preparation of a solicitation, evaluation of a bid or proposal, who should be awarded the contract, or contract terms or conditions of a major contract award must disclose in writing to the president on a form prescribed by the state auditor direct or indirect pecuniary interests (10% interest or $25,000 threshold) or family relationships (nepotism) which that employee may have in the major contract award. A major contract award involves a contract of at least $1 million in value. Use the referenced disclosure form developed by the Office of the State Auditor.

Additionally, to the extent such provision is applicable to the transaction, §2254.032 of the Texas Government Code requires officers and employees who have any financial interest in an offer to provide consulting services to the university to report that interest to the president no later than the tenth day after the date that the offer is submitted. University personnel must also report any individual related to them within the second degree by consanguinity or affinity (as determined by Section 573 of the Government Code) who has an interest in any consulting offer made to the university.

In addition to the specific reporting requirements and thresholds of §2262.004 of the Government Code, university personnel have broader reporting and ethics requirements outlined in Purchasing Ethics ~~and Confidentiality~~ (17.~~22~~*21*). Officers and employees also have a legal disclosure requirement to declare any interest in property that is to be acquired by the university as outlined in Government Code Chapter 553.

Investment officers responsible for the investment of public funds under the Public Funds Investment Act, Government Code Chapter 2256, must disclose personal relationships and interests involving investment transactions.

Officers and employees are encouraged to contact the general counsel if they have questions or concerns about the applicability of this disclosure form and to disclose possible indirect or direct pecuniary interests which do not meet the minimum threshold limits outlined in these statutory provisions. Disclosure of all possible pecuniary interests in major or non-major contract awards or procurements is required by Purchasing Ethics ~~and Confidentiality~~ (17.~~22~~*21*) to avoid other possible conflict of interest concerns. Potential transactions with relatives of employees should also be disclosed to the general counsel for advice and counsel to initiate measures that avoid any appearances of a conflict of interest.

5. Disclosure by Public Servant of Interest in Property

Section 553.002 of the Government Code requires individuals who are elected, appointed, employed or designated as an officer of government and who have a legal or equitable interest in property that is to be acquired with public funds to file an affidavit with the county clerk of the county the individual resides in and the county clerk of each county in which the property

is located. The affidavit must be filed within 10 days before the date on which the property is to be acquired by purchase or condemnation. The contents of the affidavit are included in this section.

6. Conflicts of Interest for Officers (Regents)

In addition to the statutory restrictions outlined above or in referenced policies, officers of the university, namely regents, are held to relatively strict standards for conflicts of interest under law. Conflicts of interest may involve indirect or direct pecuniary interests as established in Texas common law. Specific statutory exceptions have been carved out to allow regents to recuse themselves from specific actions. Section 572.058 of the Government Code permits regents to disclose a personal or private interest in a measure, proposal, or decision pending before the board and not participate in board action involving that matter. Section 51.923 of the Education Code allows the university to contract with nonprofit corporations which may have one or more regents serving on their board or a regent serving as an officer or employee of the nonprofit. The statute also permits the university to contract with business entities in which a regent has an interest. If a regent has a "substantial interest" in the business entity and board approval is required, that regent must recuse himself or herself from the decision on behalf of the university. A regent has a "substantial interest" if the regent or the regent's spouse, child, parent, father or mother in- law, son or daughter in-law, stepparent, or stepchild: owns one percent or more of the voting stock or shares of the business entity or owns either one percent or more or $15,000 or more of the fair market value of the business entity; funds received by the regent from the business entity exceed one percent of the regent's gross income for the previous year; or the regent is an officer of the business entity or its governing board.

Regents should contact the general counsel on possible conflict of interest matters and disclose to counsel potential direct or indirect pecuniary interests in matters pending before the Board of Regents. Potential transactions with relatives of regents should also be disclosed to the general counsel for advice and counsel to avoid any appearances of a conflict of interest.

7. Nepotism

Officers and employees are reminded that hiring certain relatives as defined in Nepotism (11.16) and/or under state law is prohibited.

8. Discrimination and Sexual Harassment

Discrimination and sexual harassment are prohibited by university policies 2.11 and 2.13, respectively, and also under state and federal law.

9. Equity Ownership and Management Participation relating to Research, Development, Licensing and Exploitation of Intellectual Property

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.

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.

In accordance with §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.

10. Acting as an Agent

An officer or employee of the university is prohibited from acting as an agent for another person in the negotiation of the terms of an agreement relating to the provision of money, services, or property to the university.

Summary

In this age of high ethical standards and unrelenting public scrutiny, it is imperative that all state officers and employees be aware of applicable ethics laws. Texas governmental entities are run under an open government system, and all public officers and employees are subject to review. Anyone who has questions or concerns should contact the university's general counsel. A copy of this policy shall be annually filed with the Texas Higher Education Coordinating Board as required by the General Appropriations Act.

Cross Reference: Article III, § 22 of the General Appropriations Act as adopted by the ~~85th~~ *87th* Legislature; Tex. Gov't Code §§ 403.271(a)-.278, 552.352, 556.004-.009, 2203.004, 2254.032, 2261.252, 2262.004, Ch. 553, 572-573, 2256; Tex. Penal Code Ch. 36, § 39.02; Tex. Educ. Code §§ 51.912, .923 and other applicable state and federal laws; ~~Discrimination~~

~~Complaints~~*Nondiscrimination* (2.11); ~~Sexual Misconduct~~*Title IX* (2.13); Nepotism (11.16); ~~Use of Electronic Information Resources~~*Acceptable Use of Information Technology Resources* (~~16.32~~*14.2*); Property Inventory and Management (17.14); Purchasing Ethics ~~and Confidentiality~~ (17.~~22~~*21*); Fraud (2.7); Discipline and Discharge (11.4); Outside Employment (11.19); ~~Purchases from Employees (17.21);~~ Financial Aid Code of Conduct (4.7); Property Liability (16.22)

Responsible for Implementation: President

Contact for Revision: General Counsel

Forms: Disclosure Statement for Purchasing Personnel

Board Committee Assignment: Finance and Audit

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Financial Aid Code of Conduct

Policy Number: 4.7

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

Date of last revision, if applicable: 10/29/2018

Unit(s) Responsible for Policy Implementation: Enrollment Management

Purpose of Policy (what does it do): To ensure compliance with Higher Education Act § 487(a)(25) and to outline standards of ethical conduct for university personnel in managing financial aid monies.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No Changes

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Rachele' Garrett, Director of Financial Aid and Scholarships
Erma Brecht, Executive Director for Enrollment Management
Damon Derrick, General Counsel

Financial Aid Code of Conduct

Original Implementation: April 21, 2009
Last Revision: ~~October 29, 2018~~*November 1, 2021*

This code of conduct is promulgated under the Higher Education Act § 487(a)(25), as reauthorized and amended by the Higher Education Opportunity Act, and is not intended to conflict with any Texas law or university policy involving conflict of interest and/or ethics, specifically Texas Government Code § 572.051 and Stephen F. Austin State University's Ethics policy (2.6). To help ensure public confidence in the financial aid system and to promote high ethical standards, provisions in this code of conduct may exceed the minimum limits required by law. Any employee or agent of the university with responsibilities involving the financial aid process will be provided an annual copy of the policy.

I. Definitions

A. "Lending institution" or "lender" means: (i) any entity that itself, or through an affiliate, engages in the business of making loans to students, parents or others for purposes of financing higher education expenses, or that securitizes such loans; or (ii) any entity, or association of entities, that guarantees education loans. "Lending institution" or "lender" will not include the university or the state or federal governments. The Trellis Company (formerly the Texas Guaranteed Student Loan Corporation) is exempt from this definition.

B. "University" means Stephen F. Austin State University (SFA) and entities that subscribe to its policies.

C. "Compensation" means anything of value, including but not limited to money, credits, loans, discounts, payments, fees, forgiveness of principal or interest, reimbursement of expenses, charitable contributions, stock options, consulting fees, educational grants, vacations, prizes, gifts, gratuities, favors, discounts, entertainment, hospitality, or other items of value, whether given directly or indirectly. The term additionally includes a gift of services, transportation, lodging or meals, whether provided in kind, by purchase of a ticket, payment in advance, or reimbursement after the expense has been incurred.

D. "Trade association" means any higher education, financial aid, lending or banking trade, industry, or professional association that receives compensation within the preceding 12-month period from any lending institution or lender.

E. "Outside director" means a member of a lender's board of directors or board of trustees who receives compensation from such lender in connection with his or her service on the board of directors or board of trustees and who receives no other compensation from the lender as an officer, employee, or agent of the lender or otherwise.

F. "Agent" means a person acting as a representative of and at the direction of or under the control of a university, where such person's responsibilities relate primarily to the university's activities involving financial aid or the business of higher education loans.

II. **Code of Conduct**

A. Prohibition of Certain Compensation to University Employees

1. No university trustee, director, officer, or agent, or any employee who is employed in the financial aid office of the university or who otherwise has responsibilities with respect to higher educational loans or other financial aid at the university, and no spouse or dependent children of any such persons ("family member"), will accept any compensation of more than a de minimus amount (not to exceed $20), directly or indirectly, during any 12-month period, from or on behalf of a lending institution or trade association, except that this provision does not prohibit any officer, trustee, director, agent or employee of the university, or any of their family members, from receiving compensation for the conduct of non-university business with any lending institution or trade association or from accepting compensation that is offered to the general public. No compensation will be accepted by an employee (or employee's family member) in the financial aid office from any financial aid applicant or his/her family.

2. Notwithstanding the prohibitions in subsection II.A.1 or any other provision of this code of conduct: (a) the university may hold membership in any nonprofit professional association; and (b) a university ~~trustee~~*regent*, director, officer, or employee who is not employed in the financial aid office of the university and does not have responsibilities with respect to higher education loans or financial aid, may serve as an outside director of a lending institution or trade association and receive compensation at the lending institution's or trade association's established compensation rates for outside directors, provided that any university ~~trustee~~*regent*, director, officer or employee serving on the board of the lending institution or trade association is precluded from participating in such board's discussions or decisions that might affect the interests of the university and provided further that such university ~~trustee~~*regent*, director, officer or employee complies with the university's policy on Ethics (2.6), and receives annual written notice of the requirements of both this code of conduct and the university's ~~conflict of interest~~*Ethics* policy *(2.6)*. Further, notwithstanding the prohibitions in subsection II.A.1, a trustee, director, officer or employee of a lending institution or trade association who does not have responsibilities with respect to higher education loans or financial aid is not prevented from serving on the board of ~~directors~~ *regents* ~~of a university~~ solely by virtue of his or her position with the lending institution or trade association, provided that any such person serving on the board of ~~the university~~*regents* is precluded from participating in such board's discussions or decisions that might affect the interests of such lender or trade association or that relate to financial aid or higher education loans.

3. The prohibitions set forth in this subsection include, but are not limited to, a ban on any payment or reimbursement by a lending institution or trade association to a university employee or family member for lodging, meals, or travel to conferences or training seminars unless such payment or reimbursement is related solely to non-

university business. University employees whose duties relate to financial aid may accept food or refreshments of nominal value provided or paid for by a lender or trade association at a meeting, conference or seminar related to their professional development or training. University employees are not precluded from attending any educational or training program related to financial aid or higher education loans where no registration fee is charged to any attendee because of a lender's or trade association's sponsorship or support of the program, and provided that the registration fee is limited to covering the costs associated solely with the education or training component of the program.

4. A person employed in the financial aid office may not own stock or hold another ownership interest in a lending institution or trade association, other than through ownership of shared in a publicly traded mutual fund or similar investment vehicle in which the employee does not exercise any discretion regarding the investment of the assets of the fund or other investment vehicle.

~~4.~~*5.* No action will be taken by an employee in the financial aid office that is for his/her personal benefit or could be perceived to be a conflict of interest. Employees within the financial aid office will not award aid to themselves or to a relative as defined in policy 11.16, Nepotism. Staff will refer this task to an institutionally designated person to avoid the appearance of a conflict of interest.

B. Limitations on University Employees Participating on Lender Advisory Boards

Any person who is employed in the university's financial aid office, or who otherwise has responsibilities with respect to private educational loans or other financial aid of the university, and who serves on a lender advisory board, commission, or group established by a private educational lender or group of such lenders are prohibited from receiving anything of value from the private educational lender or group of lenders except reimbursement for reasonable expenses. An annual report of any reasonable expenses paid will be provided to the U.S. secretary of education. Each report will include: the amount for each specific instance of reasonable expenses paid or provided; the name of the financial aid official, other employee, or agent to whom the expenses were paid or provided; the dates of the activity for which the expenses were paid or provided; and a brief description of the activity for which the expenses were paid or provided. Lenders can obtain advice and opinions of financial aid officials on financial aid products and services through trade associations, industry surveys, or other mechanisms that do not require service on lender advisory boards, and provided that any reimbursement for expenses is limited to reasonable expenses as defined for service on advisory boards. This provision does not apply to participation on advisory boards that are unrelated in any way to financial aid or higher education loans. This paragraph does not apply to those serving in the Trellis Company.

C. Prohibition of Certain Compensation to the University

1. Neither the university, nor any alumni association, booster club, foundation, athletic organization, social organization, academic organization, professional organization or other organization affiliated with the university ("affiliated organizations") may accept any compensation from any lending institution or trade association in exchange for any advantage or consideration provided to the lending institution or trade association related to the lending institution's or trade association's financial aid or education loan activity. This prohibition includes, but is not limited to: (i) revenue sharing by a lending institution or trade association with the university or affiliated organizations; (ii) the receipt by the university or affiliated organizations from any lending institution or trade association of any equipment or supplies, including without limitation, computer hardware and software, for which the university pays below-market prices; and (iii) printing costs or services, provided that a university or affiliated organizations is not prohibited from accepting a lender's or trade association's own standard printed brochures or informational material that does not contain the university's logo or otherwise identify the university.

2. Notwithstanding anything else in this subsection, the university may accept assistance comparable to the kinds of assistance provided by the secretary of the U.S. Department of Education to schools under or in furtherance of the Federal Direct Loan Program.

3. Nothing in this subsection prohibits the university from accepting endowment gifts, capital contributions, scholarship funding, or other financial support from a lender or trade association, as long as the university gives no competitive advantage or preferential treatment to the lender or trade association related to its education loan activity in exchange for such support.

D. Preferred Lender Lists

In the event the university promulgates a list of preferred or recommended lenders or similar ranking or designation ("preferred lender list"), the following restrictions and provisions apply:

1. Every brochure, web page, or other document that sets forth a preferred lender list must clearly disclose, textually or by clearly designated hyperlink, the process and criteria by which the university selected lenders for said preferred lender list, including but not limited to the payment of origination fees, competitive interest rates or other terms, high-quality servicing, and additional benefits beyond the standard terms. The list will be compiled without prejudice and for the sole benefit of the students attending the institution.

2. Every brochure, web page, or other document that sets forth a preferred lender list or identifies any lender as being on said preferred lender list must state in the same font and same manner as the predominant text on the document that students and their parents have the right and ability to select the education loan provider of their choice, are not required to use any of the lenders on said preferred lender list, and will suffer

no penalty from the university for choosing a lender that is not on said preferred lender list. Borrowers will not be auto-assigned to any particular lender.

3. Every brochure, web page, or other document that sets forth a preferred lender list or identifies any lender as being on said preferred lender list must state in the same font and same manner as the predominant text any affiliations between the lenders on the preferred lender list.

4. The university's selection of preferred lenders and the university's decision as to where or how prominently on the list the lending institution's name appears must be based solely on the best interests of student and parent borrowers, using stated criteria that are limited to benefits provided to borrowers (such as competitive interest rates and repayment terms, quality of loan servicing, and whether loans will be sold), and the ability to work efficiently and effectively with the university to process loans, without regard to the pecuniary interest of the university or to any benefits provided by lending institutions to the university or any of the university's officers, ~~trustees~~*regents*, directors, agents or employees or their family members. The university's selection of any preferred lender must be limited to the types of loans for which that lender has been selected, based on the benefits to the borrower for those types of loans, and the university's preferred lender list must indicate the types of loans for which each lender has been selected as a preferred lender. Nothing in this provision is intended to restrict the university's ability to exercise its discretion in making its own final judgment about which lenders best meet the university's criteria and the needs of its student and parent borrowers.

5. The university must review its preferred lender list at least annually.

6. The university must require that all preferred lenders commit in writing to disclose to the borrower at the time a loan is issued: (a) whether the loan may be sold to another lender; (b) that the loan terms and benefits will not change if the loan is sold to another lender; and (c) that the loan benefits may change if the borrower chooses to consolidate his or her loans.

7. The university must ensure that any preferred lender list it publishes to students contains no less than two (2) unaffiliated lending institutions for private loans.

E. Prohibition of Lending Institutions' Staffing of University Financial Aid Offices

1. No employee or other agent of a lending institution may staff the university financial aid offices at any time, either directly or through call center staffing. The university must ensure that no employee or other representative of a lending institution is ever identified to students or prospective students of the university or their parents as an employee or agent of the university. The foregoing prohibitions notwithstanding, if the university believes that it would benefit students, the university may allow representatives of lenders to conduct informational sessions, such as exit interviews and presentations on loan payment and loan consolidation options, as long as: (a)

student attendance is voluntary; (b) a university representative explains that other lenders may provide similar services; (c) the affiliation of the lender representative is disclosed at the start of the presentation; (d) the lender representative does not promote the products or services of any lender; and (e) the university takes reasonable steps to ensure compliance with the requirements of this paragraph.

2. In the event that the university permits a lender to conduct information sessions or exit interviews as set forth in subsection E.1., the university must retain control of any interview or presentation offered by lenders. Control may be evidenced by: (a) a university employee attending such interview or presentation; (b) the university recording or videotaping the interview or presentation; or (c) the university creating or approving in advance the content of an exit interview conducted electronically.

F. Proper Execution of Master Promissory Notes

The university will not link or otherwise direct potential borrowers to any electronic master promissory note or other loan agreement unless the master promissory note or agreement allows borrowers to enter the lender code or name for any lender offering the relevant loan, or the university's link to the electronic master promissory note or agreement informs borrowers of alternative means of entering into a master promissory note or agreement with any lender of the borrower's choice. Any information the university provides to borrowers about completing a master promissory note or agreement with a preferred lender must provide the information required in subsections II.D.1 and II.D.2. This paragraph will not apply to conversations in which a student merely seeks assistance in completing the master promissory note and has already selected a lender.

G. Revolving Door Prohibition

1. In the event the university hires an employee who will be employed in its financial aid office, or who otherwise will have responsibilities with respect to higher education loans or other financial aid and such employee was employed by a lender during the 12-month period prior to the date of hire by the university, such employee is prohibited from having any dealings or interactions with such lender on behalf of the university for a period of 12 months from the date such employee's employment with the lender was terminated.

2. In the event a lender hires an employee who was employed by the university during the 12-month period prior to the date of such employee's hire by the lender, the university is prohibited from having any dealings or interactions with such employee that relate to financial aid or higher education loans for a period of 12 months from the date such employee's employment with the university was terminated.

H. Information Provided by Financial Aid Offices

1. Information provided by the financial aid office must be accurate, unbiased, and not reflect preference arising from actual or potential personal gain.

2. Institutional award notifications and/or other institutionally provided materials will include the following: (a) a breakdown of individual components of the institution's cost of attendance, designating all potential billable charges; (b) clear identification of each award, indicating type of aid (i.e. grants, scholarships, work, or loans); (c) standard terminology and definitions; and (d) renewal requirements of each award.

3. All required consumer information is displayed in a prominent location on the institutional website(s) and in any printed materials, easily identified and found and labeled as "consumer information."

4. All employees of the financial aid office will disclose to the institution any involvement, interest in, or potential conflict of interest with any entity with which the institution has a business relationship.

Cross Reference: Higher Education Opportunity Act, Pub. L. No. 110-315, 20 U.S.C. § 1094(a)(25), (e); Tex. Gov't Code § 572.051; *Tex. Educ. Code § 51.9645;* Ethics (2.6); Nepotism (11.16)

Responsible for Implementation: ~~Provost and Vice President for Academic Affairs~~*Executive Director of Enrollment Management*

Contact for Revision: Office of Financial Aid and General Counsel

Forms: None

Board Committee Assignment: Academic and Student Affairs Committee

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Fraud

Policy Number: 2.7

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

Date of last revision, if applicable: 10/29/2018

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): This policy establishes procedures and responsibilities for detecting, reporting, and resolving instances of known or suspected fraudulent activity. The intent of the policy is to protect the assets and interests of the university, prescribe a coordinated approach toward investigation and resolution of fraudulent activity, and outline specific responsibilities for individuals responding to the investigation of a fraudulent activity. Retaliation for filing a good faith report regarding suspected fraudulent activity is prohibited by this policy and is cause for disciplinary action, up to and including termination.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for <u>each</u> substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

No changes

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Fraud

Original Implementation: January 28, 1997
Last Revision: ~~October 29, 2018~~*November 1, 2021*

Purpose

This policy establishes procedures and responsibilities for detecting, reporting, and resolving instances of known or suspected fraudulent activity. The intent of the policy is to protect the assets and interests of the university, prescribe a coordinated approach toward investigation and resolution of fraudulent activity, and outline specific responsibilities for individuals responding to the investigation of a fraudulent activity. Retaliation for filing a good faith report regarding suspected fraudulent activity is prohibited by this policy and is cause for disciplinary action, up to and including termination.

Definitions

A. **University** - Stephen F. Austin State University (SFASU) and all of its components, regardless of the source of funding.
B. **Employee** - All persons receiving compensation from the university, including faculty, staff, and students. The term also includes any volunteer who provides services to the university through an official arrangement with the university or a university organization.
C. **Management** - Any administrator, manager, account holder, director, supervisor or other individual who manages or supervises funds, assets, or other resources, including human resources.
D. **Fraud** - A representation usually of fact about a material point which is intentionally, knowingly, or recklessly false to induce another to act to his/her detriment.
E. **Fraudulent Activities/Fiscal Misconduct** - Defalcation, misappropriation, and other fiscal irregularities or improprieties meeting the definition of fraud in D, above, including but not limited to:
    1. dishonest, illegal, or fraudulent acts involving university property;
    2. forgery or alteration of documents including checks, drafts, promissory notes, securities, purchase orders, budgets, etc.;
    3. forgery or unauthorized alteration by employees of employee benefit or salary-related items such as time sheets, payroll documents, billings, claims, surrenders, assignments, or changes in beneficiary;
    4. forgery or unauthorized alteration by employees of student-related items such as grades, transcripts, loans, fees, financial aid applications, or financial aid records;
    5. misappropriation of funds, securities, supplies, or any other asset of the university;
    6. illegal or fraudulent handling, or reporting, of money transactions;
    7. employee acceptance or solicitation of any gift, favor, or service that might reasonably

tend to influence the employee in the discharge of his/her official duties;

8. theft, destruction, or disappearance of records, furniture, fixtures, equipment, or other assets;
9. misrepresentation of information on documents;
10. authorizing or receiving payment for goods not received or services not performed;
11. knowing, reckless, or intentional inaccuracies in the maintenance of books and records or irregularities in financial reporting;
12. any apparent violation of federal, state, or local laws related to dishonest activities or fraud;
13. any similar or related activity.

F. **Suspected Fraudulent Activity** - A reasonable belief or actual knowledge that fraudulent activity has or is occurring. Failure to show an actual diversion of assets or loss shall not be considered unreasonable belief.

General

Management is responsible for detecting fraudulent or related dishonest activity in their areas of responsibility. Management is responsible for establishing and maintaining a system of internal control that provides reasonable assurance that improprieties are prevented and detected. Each manager should be familiar with the types of improprieties that might occur in his/her area and be alert for any indication that such a defalcation, misappropriation, or other fiscal irregularity has occurred. When an impropriety is suspected, management should determine if an error or mistake has occurred or if there may be dishonest or fraudulent activity.

Management will support the university's fiduciary responsibilities and will cooperate with auditors and law enforcement agencies in the detection, investigation, and reporting of criminal acts, including prosecution of offenders. Every effort should be made to recover university losses.

Reporting Suspected Impropriety or Fraudulent Activity

Any employee of the university who knows of or suspects fraudulent activity or improprieties has the option to report suspected activity as follows:

- notify his/her immediate supervisor;
- notify one of the following university employees: the chief audit executive, the general counsel, the university chief of police, or the director of human resources;
- file a report using the university's anonymous reporting system coordinated by the Department of Audit Services for reporting dishonest or fraudulent activity. The university's reporting system, which is hosted by a third party, can be accessed 24 hours a day by calling 1-866-294-9539 or clicking the "Report Fraud" link on the SFA homepage; and/or
- file a report with the Texas State Auditor's Office by calling 1-800-TX-AUDIT (892-8348) or visiting their website at https://sao.fraud.texas.gov

All of these reporting options are listed on the university's website homepage www.sfasu.edu under the "Report Fraud" link at www.sfasu.edu/audit/fraudreport.asp.

Great care must be taken in the reporting and investigation of suspected improprieties or irregularities to avoid incorrect accusations or alerting suspected individuals that an investigation or audit is underway, and also to avoid making statements which could provide a basis for a lawsuit for false accusation or other offense. The reporting individual should not:

- contact the suspected individual to determine facts or demand restitution; or
- discuss the facts, suspicions, or allegations associated with the case with anyone, unless specifically directed to do so by the chief audit executive, university chief of police, general counsel, or director of human resources. To the extent permitted by the applicable provisions of the Texas Public Information Act, confidentiality of those reporting dishonest or fraudulent activities will be maintained. However, the confidentiality cannot be maintained if that individual is required to serve as a witness in legal proceedings.

Investigation

Prior to conducting an investigation, the appropriate personnel from the Office of the General Counsel and the Department of Audit Services will communicate as necessary to establish the investigative team.

All affected departments and/or individuals shall cooperate fully with the investigative team to identify whether or not actual fraudulent activity has occurred.

The investigative team shall update university administration on the progress of all investigations.

All requests for information and assistance related to investigations conducted by auditors of federal and state agencies, which are concerned with potential dishonest or fraudulent activities within the university, shall be forwarded immediately to the chief audit executive for consultation with the general counsel.

All inquiries from the suspected individual, their representative, or their attorney shall be directed to the general counsel without further comment.

All reproduction of documents, evidence, and reports shall be performed within the secured work area of the University Police Department or Department of Audit Services. Any requests to release or review such documents will be coordinated through the general counsel.

In order to protect the reputations of innocent persons initially suspected of wrongful conduct and to protect the university from potential civil liability, the results of investigations and audits will not be disclosed or discussed with anyone other than authorized representatives of law enforcement

and/or regulatory agencies and persons associated with the university who have a legitimate need to know such results in order to perform their duties and responsibilities, subject to provisions of the Texas Public Information Act.

The results of all investigations will be reported to the president of the university or to the chair of the Board of Regents Finance and Audit Committee when considered necessary.

Allegations of Defalcation, Misappropriation, and other Fiscal Irregularities

The chief audit executive will supervise all audits of allegations of defalcation, misappropriation, and other fiscal irregularities. The Department of Audit Services will have full and unrestricted access to all necessary records, including e-mail, and personnel. All university equipment, furniture, and contents, including desks and computers, are open to inspection when there is reasonable suspicion of a dishonest or fraudulent activity which makes such inspection appropriate; there is no assumption of privacy. The general counsel shall be contacted before inspection of desks and computers beyond inadvertent or official access. Every effort should be made to effect recovery of university losses.

Pursuant to Section 321.022 of the Texas Government Code, the president shall file a report with the Office of the State Auditor if he/she has reasonable cause to believe that money received from the state by the university may have been lost, misappropriated, or misused, or that other fraudulent or unlawful conduct has occurred in relation to the operation of the department or entity. All records of a communication by or to the state auditor in this regard are legally considered audit working papers of the state auditor.

Allegations of Criminal Activity

When an audit reveals suspected criminal activity, or an audit is initiated due to an allegation of criminal activity, the university chief of police will be notified immediately and the audit will proceed under his/her direction. The Department of Audit Services shall assist the university police in investigations of suspected defalcation, misappropriation, and other fiscal irregularities that require accounting and auditing knowledge of university records.

When suspected criminal activity may constitute a felony offense, the university chief of police shall, when appropriate, immediately notify the president or his/her designee. The university chief of police, chief audit executive, and general counsel will coordinate assistance provided to state, federal, and local law enforcement agencies in connection with felony fraud investigations. All requests for information and/or assistance from such agencies, received by any other component of the university, shall be immediately forwarded to the university police for determination and handling. All reasonable assistance will be given to law enforcement agencies when requested.

Audits revealing violations of the Penal Code for which an audit report will be issued shall be

reduced to final report form only after consultation by university police with the local prosecutor or the Office of the General Counsel to ensure that appropriate documentation of the facts has been achieved in order to permit appropriate personnel action, protect innocent persons, support appropriate civil or criminal actions, document claims made pursuant to applicable fidelity bonds, preserve the integrity of criminal investigation and prosecution, and avoid unnecessary litigation.

Allegations Involving Employment Conditions

The director of human resources will supervise or assist with all investigations involving allegations that arise by nature of one's employment that do not otherwise fall into one of the above categories.

Audit Findings

Each investigation of possible dishonest or fraudulent activities has the potential to provide valuable insight into university activities. Investigations may disclose control weaknesses or other deficiencies that require additional auditing or attention by management. The Department of Audit Services shall consider the nature and extent of the investigation and complete any additional audit work necessary to provide management with information for appropriate action.

Cross Reference: Ethics (2.6); Tex. Gov't Code § 321.022

Responsible for Implementation: President

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Finance and Audit

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Illicit Drugs and Alcohol Abuse

Policy Number: 13.11

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

Date of last revision, if applicable: 7/27/2021

Unit(s) Responsible for Policy Implementation: University President, Assistant Vice President of Student Affairs and Dean of Students, Director of Human Resources

Purpose of Policy (what does it do):

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

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

☐ Internal Review ☒ Other, please explain: Permit alcohol for residential students of legal drinking age

Please complete the appropriate section:

Specific rationale for new policy: Increase appeal and marketability of on-campus living to upperclass students who otherwise would be exempt from the on-campus living requirement

Specific rationale for each substantive revision: Define parameters for residential students of legal drinking age to possess alcohol for personal consumption in their residence hall room/suite.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Andrew Dies, Assistant Vice President of Student Affairs and Dean of Students
Nathan Hendrix, Director of Student Rights and Responsibilities
Carrie Charley, Executive Director of Campus Living, Dining and Auxiliary Enterprises
John Wyatt, Interim Director of Human Resources

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

Brandon Frye, Vice President of Student Affairs
Damon Derrick, General Counsel

Illicit Drugs and Alcohol Abuse

Original Implementation: September 1, 1986
Last Revision: ~~July 27, 2021~~*November 1, 2021*

~~It is the declared policy of the United States government to create a drug-free America. As a part of that policy, the Drug-Free Workplace Act of 1988, 41 U.S.C. §§ 701-707, was adopted.~~ On December 12, 1989, President Bush signed the Drug-Free Schools and Communities Act Amendment of 1989, 20 U.S.C. § 1011i, which amends provisions of the Drug-Free Schools and Communities Act of 1986 and the Higher Education Act of 1965. University policies relating to the use of illegal drugs and alcoholic beverages have been established by the Board of Regents of Stephen F. Austin State University in compliance with state and federal law.

Definitions

1. Controlled substance means a controlled substance in schedules I through V of the Schedules of controlled substances, 21 U.S.C. § 812. Examples include, but are not limited to: heroin, marijuana, mescaline, peyote and cocaine. This definition does not include medication prescribed by a physician.
2. Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the federal or state criminal drug statutes.
3. Criminal drug statute means a criminal statute involving manufacture, distribution, dispensation, use or possession of any controlled substance.
4. Federal agency means an agency as that term is defined in 5 U.S.C. § 551(1).

Standards of Conduct

It is the university's policy that all members of the university community and guests are required to comply with federal, state and local laws regarding the possession, consumption and distribution of alcoholic beverages. All employees (full-time and part-time faculty, staff and students) are prohibited from engaging in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance or alcoholic beverage in the workplace, or reporting to work under the influence of alcoholic beverages or illegal drugs. None of the funds appropriated to the university by the state legislature for travel expenses may be expended for alcoholic beverages.

Alcoholic beverages will be permitted at authorized events on ~~university-controlled~~*university-controlled* property only as allowed under university policy. The unauthorized use of intoxicating beverages on university-controlled property or at university-sponsored activities, *not to include authorized tailgating areas at intercollegiate athletic events*~~, including, but not limited to, intercollegiate and intramural athletic events~~ is prohibited. *Students under the age of 21 years, residing in university residence halls, are prohibited from possessing, using, being in the presence*

of, purchasing, transporting, selling and/or distributing alcohol. ~~Alcoholic beverages are not permitted in university residence halls.~~ *Residential students who are of legal age may* ~~*possess or*~~*possess or consume alcoholic beverages that contain no more than fourteen percent (14%) alcohol by volume within their respective residence hall room or suite and not in the presence of an individual under the legal drinking age.* Alcoholic beverages are permitted in the areas of university owned facilities that are designated as the private residence of full-time live-in employees of legal age.

It is the policy of Stephen F. Austin State University that any unlawful manufacture, possession or delivery of any controlled substance or illegal drug is strictly prohibited. Moreover, it is the policy of the state of Texas and of this university that this institution will be as free of illegal drugs as it can possibly be.

Health Risks

ALCOHOL ABUSE

Alcohol is a primary and continuous depressant of the central nervous system. Impairment of judgment and of recently learned, complex and finely tuned skills begins to occur at blood alcohol concentrations as low as 0.025 percent. These impairments are followed by the loss of more primitive skills and functions, such as gross motor control and orientation at concentrations in excess of 0.05 percent. Alcohol in moderate doses impairs nearly every aspect of information processing, including the ability to abstract and conceptualize, the ability to use large numbers of situational cues presented simultaneously, and the cognitive ability to determine meaning from incoming information. Alcohol consumption can therefore promote action on impulse without full appreciation of, or concern about, the potential negative consequences of such action. Chronic long-term effects of heavy drinking over a period of years can result in brain damage; cancer of the mouth, esophagus or stomach; heart disease; liver damage resulting in cirrhosis, alcoholic hepatitis, and cancer of the liver; peptic ulcer disease; and possible damage of the adrenal and pituitary glands. Prolonged, excessive drinking can shorten life span by 10 to 12 years.

ILLICIT DRUGS

Illicit drugs include narcotics, such as heroin or morphine; depressants, such as barbiturates, quaaludes, or valium; stimulants, such as cocaine or "crack"; hallucinogens, such as PCP, LSD or mescaline; cannabis, such as marijuana or hashish; inhalants, such as nitrous oxide, amyl nitrite (poppers) or various hydrocarbon solvents; and designer drugs, such as α-methylfentanyl (China White),——methamphetamine——(Meth/Crank/Speed),——3,4-methylenedioxy-methamphetamine (MDMA/Ecstasy) or meperidine (Demerol).

Narcotics. Narcotics initially produce a feeling of euphoria that is often followed by drowsiness, nausea and vomiting. Tolerance may develop rapidly and dependence is likely. The use of contaminated syringes may result in diseases such as human immunodeficiency virus (HIV),

endocarditis (inflammation of the lining of the heart) and hepatitis.

Depressants. The effects of depressants are in many ways similar to the effects of alcohol. Small amounts can produce calmness and relaxed muscles, but a somewhat larger dose can cause slurred speech, ataxia or unstable gait, and altered perception. Very large doses can cause respiratory depression, coma and death. The combination of depressants and alcohol can multiply the effects of the drugs, thereby multiplying the risks. The use of depressants can cause both physical and psychological dependence.

Stimulants. Cocaine stimulates the central nervous system. Its immediate effects include dilated pupils; elevated blood pressure, heart and respiratory rate; and increased body temperature. Occasional use can cause a stuffy or runny nose, while chronic use can ulcerate the mucous membrane of the nose with long-term use eroding the nasal septum. The injection of cocaine with unsterile equipment can cause human immunodeficiency virus (HIV), hepatitis and other diseases. Preparation of freebase, which involves the use of volatile solvents, can result in death or injury from fire or explosion. Cocaine can produce psychological and physical dependency. In addition, tolerance develops rapidly. Crack or freebase rock is extremely addictive. The physical effects include dilated pupils, increased pulse rate, elevated blood pressure, insomnia, loss of appetite, tactile hallucinations, paranoia and seizures. Overdoses occur easily.

Hallucinogens. Include a diverse group of drugs that alter perception (awareness of surrounding objects and conditions), thoughts, and feelings. They cause hallucinations, or sensations and images that seem real though they are not. Hallucinogens can be found in some plants and mushrooms (or their extracts) or can be human-made. Common hallucinogens include the following: ayahuasca, DMT, *D-lysergic acid diethylamide* (LSD), peyote—(mescaline),—and *4-phosphoryloxy-N,N-dimethyltryptamine* (psilocybin). Some hallucinogens also cause users to feel out of control or disconnected from their body and environment. Phencyclidine (PCP) users frequently report a sense of distance and estrangement. Time and body movement are slowed down. Muscular coordination worsens, and senses are dulled. Speech is blocked and incoherent. Chronic PCP users report persistent memory problems and speech difficulties. Mood disorders, such as depression, anxiety and violent behavior, may also occur. In late stages of chronic use, users often exhibit paranoid and violent behavior and experience hallucinations. Large doses may produce convulsions and coma, heart failure, lung problems and/or ruptured blood vessels in the brain. Lysergic acid (LSD), mescaline and psilocybin cause perceptual distortions (mixed senses, such as "seeing" sounds or "hearing" colors) and hallucinations. The physical effects may include dilated pupils, elevated body temperature, increased heart rate and blood pressure, loss of appetite, sleeplessness and tremors. Sensations and feelings may change rapidly. It is common to have adverse psychological reaction to LSD, mescaline and psilocybin. The user may experience panic, confusion, suspicion, anxiety and loss of control. Delayed effects or flashbacks can occur even after use has ceased.

Inhalants. The chemicals in most inhalants are rapidly absorbed in the lungs and exert their central

nervous system effects within seconds, producing an altered mental state for about five to fifteen minutes. Immediate effects of inhalants include nausea, sneezing, coughing, nosebleeds, fatigue, lack of coordination and loss of appetite. Solvents and aerosol sprays can decrease the heart and respiratory rates and impair judgment. Amyl and butyl nitrite can cause rapid pulse, headaches, and involuntary passing of urine and feces. Inhalation of toluene as well as other hydrocarbons has been associated with kidney and liver damage, peripheral nerve problems, convulsions, encephalopathy (organic brain damage) and other central nervous system disorders. Sudden death associated with both glue sniffing and especially the inhalation of aerosols containing halogenated hydrocarbons (Freon) has been reported and is thought to be secondary to cardiac arrhythmias (abnormal electrical conduction patterns in the heart).

Marijuana. The short term effects of marijuana include distortion of time perception, increased heart rate, dilation of blood vessels and loss of short-term memory. Also decreased are visual perception and psychomotor skills, which have adverse effects on driving ability. The effects of long-term use include loss of motivation, chronic bronchitis, decreased vital lung capacity and an increased risk of lung cancer. Tolerance and psychological dependence develop with marijuana.

Other Illegal Drugs. Designer drugs are synthetic chemical modifications of older drugs of abuse that are designed and manufactured in covert laboratories and sold at great profit for recreational use. These drugs can be several hundred to several thousand times stronger than the drugs they are designed to imitate. Designer drugs similar to opiates include fentanyl, demerol, and "china white." The narcotic analogs of designer drugs can cause symptoms such as those seen in Parkinson's disease - uncontrollable tremors, drooling, impaired speech, paralysis and irreversible brain damage. Analogs of amphetamines and methamphetamines cause nausea, blurred vision, chills or sweating and faintness. Psychological effects include anxiety, depression and paranoia. Withdrawal problems include sweating, diarrhea, fever, insomnia, irritability, nausea and vomiting, and muscle and joint pain. Flunitrazepam (Rohypnol) is a benzodiazepine chemically similar to prescription sedatives such as Valium and Xanax but much more powerful and has been used to commit sexual assaults due to its ability to sedate and incapacitate unsuspecting victims. Similarly, Gamma-hydroxybutyrate (GHB) is a depressant and is sometimes used as a date rape drug.

Synthetic cannabinoids are part of a group of drugs called new psychoactive substances (NPS). NPS are unregulated mind-altering substances that have become newly available on the market and are intended to produce the same effects as illegal drugs. Synthetic cannabinoids are marketed under a wide variety of specific brand names, including K2, Spice, Joker, Black Mamba, Kush, and Kronic. Synthetic cannabinoids are not safe and may affect the brain much more powerfully than marijuana; their actual effects can be unpredictable and, in some cases, more dangerous or even life-threatening. Synthetic cathinones, more commonly known as "bath salts," are human-made stimulants and are include in the group of NPS. Common effects of synthetic cathinones included elevated heart rate, blood pressure, and chest pain. Other effects include delirium, dehydration, breakdown of skeletal muscle tissue, and kidney failure. Intoxication from synthetic cathinones can result in death.

University Penalties

STUDENTS

Students who are found responsible or accept responsibility for alcohol and/or drug violations will be sanctioned through the Student Code of Conduct (10.4) process. Potential sanctions include, but are not limited to, disciplinary reprimand, disciplinary probation (e.g. restrictions on university activities, access to certain university facilities and resources), educational requirements (e.g. required completion of an appropriate rehabilitation program), suspension, and/or expulsion and referral for criminal prosecution, as those terms are defined in the Student Code of Conduct (10.4).

EMPLOYEES

All employees (full-time and part-time faculty, staff and students) are prohibited from engaging in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance or alcoholic beverage in the workplace, or reporting to work under the influence of alcoholic beverages or illegal drugs. None of the funds appropriated to the university by the state legislature for travel expenses may be expended for alcoholic beverages.

Observance of the policy regarding alcoholic beverages and illegal drugs is a condition of employment for all university employees. An employee violating this policy shall be subject to employment discipline up to and including termination, or shall be required to undergo satisfactory participation in a drug abuse assistance or rehabilitation program, such as the Employee Assistance Program of the university.

Any employee directly engaged in the performance of work pursuant to the provision of a federal grant or contract who is convicted of violating a criminal drug statute shall notify his/her immediate supervisor of the conviction no later than five days after the conviction. The immediate supervisor shall promptly report the conviction to the appropriate vice president and the dean of research and graduate studies. On behalf of the university, the dean of research and graduate studies will notify the federal agency grantor or contractor of the conviction within ten days of the university's receipt of notice from the employee or of receipt of other actual notice.

Good Faith Effort

Stephen F. Austin State University shall make a good faith effort to maintain a drug-free workplace by implementing and enforcing this policy. The university shall also comply with United States Department of Transportation regulations regarding drug testing of drivers with a commercial driver's license.

Federal Law

Offense	Minimum Punishment	Maximum Punishment
Manufacture, distribution or dispensing drugs (includes marijuana)	A term of imprisonment not more than 20 years, and a minimum fine of $1,000,000	A term of life imprisonment without release (no eligibility for parole) and a fine not to exceed $4,000,000 (for an individual) or $20,000,000 (if other than an individual
Possession of drugs (including marijuana)	Civil penalty in amount not to exceed $10,000	Imprisonment for not more than 20 years or not less than 5 years, a fine of not less than $5,000 plus costs of investigation and prosecution
Operation of a common carrier under the influence of alcohol or drugs		Imprisonment for up to 15 years and a fine not to exceed $250,000

Texas Law

Offense	Minimum Punishment	Maximum Punishment
Manufacture or delivery of controlled substances (drugs)	Confinement in the Texas Department of Criminal Justice State Jail facility for a term of not more than two years or less 180 days, or confinement in a community correctional facility for not more than 1 year, and a fine not to exceed $10,000	Confinement in TDCJ for life or for a term of not more than 99 years or less than 15 years, and a fine not to exceed $250,000
Possession of controlled substances (drugs)	Confinement in jail for a term of not more than 180 days, and a fine not to exceed $2,000	Confinement in TDCJ for life or for a term of not more than 99 years or less than 15 years, and a fine not to exceed $250,000
Delivery of marijuana	Confinement in jail for a term of not more than 180 days, and a fine not to exceed $2,000	Confinement in jail for a term of not more than 180 days, and a fine not to exceed $2,000
Possession of marijuana	Confinement in jail for a term of not more than 180 days, and a fine not to exceed $2,000	Confinement in jail for a term of not more than 2 years or less than 30 days, or confinement in TDCJ for a term of not more than 10 years or less than 2 years and a fine of not more than $10,000

Driving while intoxicated (includes intoxication from alcohol, drugs, or both)	Confinement in jail for a term of not more than two years or less than 72 hours, and a fine of not more than $2,000, possible loss of driver's license and license surcharge up to $2,000 per year for three years.	Confinement in jail for a term of not more than two years or less than 30 days, or confinement in TDCJ for a term of not more than ten years or less than two years and a fine of not more than $10,000
Public intoxication		A fine not to exceed $500
Purchase or consumption or possession of alcohol by a minor	Fine of not more than $500	For a subsequent offense a fine of not less than $250 nor more than $2000
Sale of alcohol or furnishing alcohol to a minor	Fine of up to $4,000 and/or up to 1 year in jail	Both
Purchase of alcohol or furnishing alcohol to a minor at a gathering involving abuse of alcohol, including binge drinking or coercion	In addition to any other penalty, community service for not less than 20 hours, attendance at an alcohol awareness program, and suspension of driver's license for 180 days.	In addition to any other penalty, community service for not more than 40 hours, attendance at an alcohol awareness or driving awareness program, and suspension of driver's license for 180 days.
Driving under the influence of alcohol by a minor	Fine of not more than $500 and community service related to education about or prevention of misuse of alcohol.	A fine of not less than $500 or more than $2,000, confinement in jail not to exceed 180 days and/or both; community service related to education about or prevention of misuse of alcohol.

Limited Immunity When Requesting Medical Assistance

A minor does not commit an offense for consumption or possession of an alcoholic beverage if the minor: (1) requests emergency medical assistance in response to the possible alcohol overdose of the minor or another person; (2) was the first person to make a request for medical assistance; and (3) if the minor requested emergency medical assistance for the possible alcohol overdose of another person, the minor remained on the scene until medical assistance arrives and cooperated with medical assistance and law enforcement personnel.

This immunity shall also apply to the imposition of any university sanction.

Limited Immunity When Reporting Sexual Assault

A minor does not commit an offense for consumption or possession of an alcoholic beverage if the minor reports the sexual assault of the minor or another person, or is the victim of a sexual assault reported by another person, to: (1) a health care provider treating the victim of sexual assault; (2) an employee of a law enforcement agency, including the University Police Department; or (3) the Title IX Coordinator or other university employee responsible for responding to reports of sexual assault. The alleviation of sanctions will not apply to any student found to be responsible for committing a sexual assault.

This immunity shall also apply to the imposition of any university sanction.

Counseling, Treatment and Rehabilitation

STUDENTS

Stephen F. Austin State University, through the counseling services office, provides individual and group counseling, including counseling for alcohol/other drug prevention and intervention, which is available to all students. Services include assistance in abstaining from the use of chemical substances, early intervention when chemical abuse is detected, and referral to community resources for inpatient/outpatient services not available on campus. Medical counseling and printed information on chemical dependency are available through the Student Health Clinic. Students may seek individual counseling or request printed information at either campus location.

Prevention/Education.
Consistent with the overall objective of this policy to prevent the unlawful possession, use, or distribution of illicit drugs and alcohol by students and employees on campus, prevention and education initiatives are designed to: increase awareness of the students, faculty, and staff concerning the psychological and health risks associated with chemical use; provide information to students regarding a variety of wellness issues which promote successful college adjustment; and, orient students, faculty and staff to the services available on campus and locally for treatment options. The Lumberjacks Care Peer Educator program (Student Wellness Action Team) offer presentations to student groups on a variety of topics including alcohol and substance abuse, adult children of alcoholics, assertiveness skills, stress and time management, self-esteem and related issues. Public programing occurs throughout the year across campus including but not limited to, wellness fairs, campus events, passive tabling, and Residence life programs. In addition, student groups, departments, or individual courses, may request private trainings addressing the risk of substance abuse and other wellness programing by contacting the Lumberjacks Care office.

On request, Counseling Services provides presentations on a variety of topics including healthy stress management techniques, maintaining personal wellness, and other mental health related topics, which include information designed to increase awareness of the psychological and health risks associated with chemical use.

Referral/Assessment.
Any SFA student requiring information about, or assistance with, a chemical abuse problem may be referred to counseling services. A student may initiate a self- referral by contacting the counseling office; university faculty and staff may initiate a student referral. Participation by a student is voluntary, except when mandated by the student conduct authority. A counselor conducts an assessment interview on the student's initial visit and provides the student with details regarding confidentiality and record keeping requirements. The counselor informs the student of alternatives and makes recommendations based on the student's needs.

Campus Support System.
Counseling services can assist students in accessing support systems on campus, including providing group counseling support as needed. Support groups function under guidelines established by counseling services.

Community Referral.
Services for chemical dependency are available in the Nacogdoches community and include: private practitioners offering individual counseling or intellectual/psychological assessment and agencies (such as the Alcohol and Drug Abuse Council) which provide a variety of services such as individual counseling, self-help groups such as Alcoholics Anonymous and Narcotics Anonymous, and inpatient or outpatient treatment.

EMPLOYEES

University employees with supervisory responsibilities should be cognizant of employee behavior related to unacceptable job performance which may result from drug or alcohol abuse. Any decision to initiate employee counseling or a referral to human resources should be based on the employee's unacceptable job performance (which may include violations of this policy). Employee counseling, referral and related record keeping should be conducted with the degree of care and confidentiality appropriate to such personnel matters. Services for employees with a chemical dependency are available in the community, including private practitioners offering individual counseling, self-help groups such as Alcoholics Anonymous and Narcotics Anonymous, and inpatient/outpatient treatment at various health care facilities.

Review and Assessment

It is the intent of Stephen F. Austin State University to continue to strive for a drug-free campus and to comply with state and federal regulations regarding prevention programs established to eliminate the illegal use of drugs and alcohol abuse. To this end, SFA will provide written notice to each student and employee a copy of this policy. Students will receive written notice according to the following schedule:

- On the first business day following the 12th class day of each long semester

- On the first business day following the 8th class day following mid-term in each long semester
- On the first business day following the 2nd class day of Maymester
- On the first business day following the 4th class day of Summer I and II semesters

Employees will receive written notice no later than October 31st of each year, and all new employees will be notified during new employee orientation.

In addition, the university will conduct a biennial review of the program implemented to provide a learning and working environment free of drug and alcohol use. The purposes of the biennial review will be to: 1) determine the effectiveness of the program and implement needed changes; and 2) ensure that the sanctions included in the program are consistently enforced. The university's dean of student affairs will be responsible for initiating the biennial review. The results of this review will be released in July of even numbered years.

Cross Reference: Drug-Free Workplace Act of 1988, 41 U.S.C. §§ 701-707; Drug-Free Schools and Communities Act Amendments of 1989, 20 U.S.C. § 1011i, 34 C.F.R. §§ 86.1-.411; 21 U.S.C. §§ 812, 841-865; 5 U.S.C. § 551(1); General Appropriations Act; Texas Gov't Code § 2113.012; OMB ~~Circular A-21~~*Part 200*; Tex. Transp. Code § 708.102; Tex. Alco. Bev. Code §§ 106.01-.15; Tex. Penal Code §§ 12.01-.49, 49.01-.12; State of Texas Travel Allowance Guide; Faculty Code of Conduct (7.11); Student Code of Conduct (10.4); Drug and Alcohol Testing (11.6); Discipline and Discharge (11.4); Alcohol Service (13.7)

Responsible for Implementation: President

Contact for Revision: Director of Human Resources, *Assistant Vice President of Student Affairs and* Dean of Student*s* ~~Affairs~~

Forms: None

Board Committee Assignment: Academic and Student Affairs

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Leaves of Absence and Miscellaneous Leave

Policy Number: 12.11

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

Date of last revision, if applicable: 7/23/2019

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

Purpose of Policy (what does it do): This policy describes administrative leaves of absence and miscellaneous leave for both faculty and staff employees. It excludes all casual employees and employees who are in positions that require them to be a student as a condition of employment.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: 87th Legislature created new leave provisions for military leave and for mental health leave for peace officers. This revision addresses those additions.

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording and formatting changes and clarifications were made, as well.

Reviewers:

John Wyatt, Interim Director of Human Resources
Judi Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

~~Administrative Leave~~*Leaves of Absence and Miscellaneous Leave* (Faculty and Staff)

Original Implementation: September 1, 1981
Last Revision: *November 1, 2021*~~July 23, 2019~~

Purpose

This policy describes ~~administrative~~ leave*s of absence and miscellaneous leave* for both faculty and staff employees. It excludes all casual employees and employees who are in positions that require them to be a student as a condition of employment.

General

The university may grant ~~administrative~~ leave for specific reasons described in the following sections. Each type of leave may have specific documentation requirements that must be completed and/or turned ―in by the employee prior to approval of the leave request.

Leave Available for Faculty Employees Only

The university may grant a leave of absence with or without pay to faculty, when departmental needs allow, for the following reasons:

1. To pursue additional education or training for the faculty member in order to strengthen his/her performance in his/her position at SFA;
2. To engage in research and writing directly related to responsibilities at SFA;
3. To accept a similar position in a visiting capacity at another institution;
4. To accept a position outside higher education that is directly related to the employee's professional field and has potential for enhancing his/her future contributions to the university.

Leave may be granted to faculty in good faith that they intend to return to their SFA employment at the end of the leave of absence with the following conditions:

1. Requests for a leave of absence will be directed to the president of the university through administrative channels;
2. No paid or unpaid leave will be approved for more than 12 months;
3. Requests for renewal of leave may be considered when submitted in writing through appropriate administrative channels.

Leave without Pay for Faculty and Staff Employees

Leave without pay *for faculty and staff* of *five (5) working days or* less *or that have been approved for family medical leave (FML) or sick leave pool by human resources*~~than five (5) working days for faculty and staff~~ may be granted at the discretion of the department, subject to approval from human resources.

The president may grant a leave of absence *for faculty and staff* for *more than* five (5) *working*~~or more consecutive~~ days or *when* multiple intermittent leave*s* without pay *are requested and family medical leave (FML) or sick leave pool has not been approved by human resources*~~to faculty and staff~~ after receiving input from the supervising department regarding departmental needs and subject to the following provisions:

1. All accumulated paid leave entitlements must be exhausted before granting such leave, with the exception of employees taking leave without pay for disciplinary action, military leave and leave taken under worker's compensation. Sick leave must be exhausted only in those cases where the employee is eligible to take sick leave.
2. Such leaves will be limited in duration to twelve (12) months.
3. The employee must report to the supervisor and human resources if he or she will be unable to return to work at the end of the leave period and must provide an acceptable reason for the delay. Failure to return to work from an approved leave of absence by the intended date and to provide an acceptable reason will be considered job abandonment.

The appropriate leave without pay form should be submitted for all approval requests.

Administrative Leave with Pay

As authorized by Texas Government Code 661.911, the administrative head of an agency may grant administrative leave with pay without a deduction in salary as a reward for outstanding performance as documented by employee performance appraisals. Using employee performance appraisals as a basis for doing so, the president may grant administrative leave with pay to staff employed in a posit*i*on for at least 20 hours per week for a period of at least four and one half months and is not employed in a position for which the employee is required to be a student as a condition of the employment. Full-time staff employees may be granted administrative leave in eight-hour increments and may not exceed 32 hours during a fiscal year. The leave can be reduced proportionately for part-time staff employees.

The president may develop and revise procedures necessary to implement this section in the president's sole discretion, determine the number of hours that will be available in a fiscal year up to the statutory limit of 32 hours, and restrict administrative leave with pay to specific dates or for use throughout the fiscal year.

The two categories of eligibility for administrative leave are as follows:

Category One

1. The employee must receive a minimum overall rating of "Acceptable" on his/her last annual performance evaluation,
2. The employee must have received no rating below "Acceptable" in any category on his/her last performance evaluation,
3. The employee must have received an "exceeds expectations or exemplary" in at least one category on his/her last performance evaluation, and
4. The employee must not have received any disciplinary action during the last twelve

months excluding oral and written reprimands.

Category Two

1. The employee must have satisfactorily completed his/her most recent performance evaluation without negative ratings in any area,
2. The employee must have made a significant contribution to a university initiative, managed a special project or initiative within his/her department and/or demonstrated exceptional performance beyond his/her tenure during his/her probationary period, and
3. The employee must not have received any disciplinary action during the last twelve months, excluding oral and written reprimands.

Administrative leave with pay is a reward and not an entitlement. Administrative leave is tracked and monitored by the controller's office. The Department of Human Resources maintains procedures to implement administrative leave.

An employee shall not receive payment for administrative leave balances when his/her employment is terminated. Administrative leave balances cannot be transferred to other state agencies.

Additional Categories

Parental Leave - Employees who do not qualify for family and medical leave are entitled to parental leave for the birth of a child or the adoption or foster care placement of a child under the age of three. Parental leave cannot exceed 12 weeks. Such parental leave may be taken only for the birth of a natural child or the adoption or foster care placement with the employee of a child under 3 years of age. The leave period begins with the date of birth or the adoption or foster care placement. (See the Family and Medical Leave policy 12.9 for more information.)

Foster Parent Leave - An employee, who is a foster parent to a child under the protection of the Department of Family and Protective Services (DFPS), is entitled to a leave of absence with full pay for the purpose of attending meetings held by the DFPS regarding the employee's foster child. In addition, the employee may attend, with a paid leave of absence, the admission, review, and dismissal (ARD) meetings held by a school district regarding the foster child.

Emergency Leave - Employees may be granted emergency leave for several reasons.

1. *Bereavement Leave*: Employees will be granted emergency leave for bereavement without a loss in pay when a death occurs in their family. For the purposes of emergency leave due to bereavement, family is defined as the employee's spouse, or the employee's and spouse's parents, children, brothers, sisters, grandparents and grandchildren. The amount of time granted for bereavement leave shall not exceed three days. A full three days is not automatically granted since it is intended that such leave be limited to the reasonable amount of time necessary for travel, funeral arrangements, and funeral services. If additional days are needed, a faculty member will be required to use sick leave. Staff employees will be required to use vacation or compensatory time if additional days are

needed. Employees who have exhausted all available leave accruals will be required to take leave without pay if extended leave is approved. Requests for bereavement leave should be submitted to the department official who has the authority to approve leave. Requests for bereavement leave for family members, not mentioned above, or for leaves greater than three days are subject to the approval of the director of human resources, the divisional vice president, and the university president. Employees requesting bereavement leave may be required to provide documentary evidence of the relative's death to qualify for paid leave and attach it to the Bereavement Leave Request form.

2. *Inclement Weather Conditions:* The university president may grant emergency leave in response to inclement weather conditions for the institution as a whole.
3. *Just Cause:* The university president may grant emergency leave for other reasons determined to be for a good cause in good faith that the employee being granted the emergency leave intends to return to his/her position on expiration of the period of emergency leave.
4. *Leave during an Investigation:* The university president may grant emergency leave to an employee who is the subject of an investigation being conducted by SFA or a victim of, or witness to, an act or event that is the subject of an investigation being conducted by SFA.

Emergency Leave Reporting Requirements

1. The university is required to report to the state controller's office no later than October 1 of each year, the name and position of each employee granted more than 32 hours of emergency leave during the previous fiscal year along with the reason the leave was granted.
2. The university is required to report to the state auditor's office and Legislative Budget Board the name of each employee given 168 hours or more of emergency leave due to a SFA investigation during each fiscal quarter.

Educational Activities Leave - An employee may use up to 8 hours of sick leave each fiscal year to attend educational activities for the employee's children who are in pre-kindergarten through twelfth grade. Educational activities are school-sponsored activities, including parent-teacher conferences, tutoring, volunteer programs, field trips, classroom programs, school committee meetings, academic competitions, and athletic, music, or theater programs. Employees must give reasonable notice of intention to use sick leave to attend such activities.

Jury Duty - No deduction shall be made from the salary or wages of any employee who is called for jury service. Time allocated to jury duty includes time spent in the jury selection process and serving on a jury during a trial and the sentencing phase of the trial. If an employee is dismissed from jury duty prior to the end of the work day, the employee must return to work or request other appropriate leave for the remaining hours in the workday. Time spent traveling to jury duty location and the workplace shall be considered jury duty.

Military Leave - Employees are eligible for 15 workdays in each federal fiscal year (October 1 through September 30) without loss of pay or benefits to accommodate authorized training or duty for the state's military forces, a reserve branch of the U.S. Armed Forces, or a state or federally authorized urban search and rescue team. The 15 days of paid leave do not have to be consecutive.

If the employee does not use the 15 days of military leave in a federal fiscal year, the employee is entitled to carry the balance forward to the next federal fiscal year, not to exceed 45 workdays.

The university will adjust the work schedule of a member of the Texas National Guard or United States Armed Forces Reserve so that two of the employee's days off each month coincide with two days of military duty. An employee called to active duty during an emergency to serve in reserve component of the Armed Forces under Title 10 or Title 32 of the U.S. Code is entitled to an unpaid leave of absence. The employee may choose, but is not required, to use all or some portion of another form of paid leave before choosing to go on leave without pay while on military leave.

An employee called to state active duty as a member of the state military forces by the governor because of an emergency is entitled to receive emergency leave without loss of military leave or vacation leave. This leave will be provided without a deduction in salary. This time is not limited and does not count against the 15 days maximum military leave per federal fiscal year.

An employee called to state active duty as (1) a member of the state military forces, (2) a reserve component of the armed forces, or (3) a member of a state or federally authorized urban search and rescue team by the governor or another appropriate authority in response to a disaster is entitled to receive up to seven workdays of paid leave in a fiscal year. The employee will not lose vacation leave, sick leave, earned overtime, or compensatory time during this leave. The employee will not be subjected to loss of time or evaluation rating.

An employee called to federal active duty for the purpose of providing assistance to civil authorities in a declared emergency or for training for that purpose is entitled to receive paid emergency leave for not more than 22 workdays without loss of military leave or vacation leave per calendar year.

A member of the state military forces who is ordered to active state duty by the governor or by other proper authority under the law of this state is entitled to the same benefits and protections provided:

- To persons performing service in the uniformed services in accordance with Title 38 U.S.C. Sections 4301- 4313 and 4316-4319, as that law existed on April 1, 2003; and
- To persons in the military service of the United States in accordance with Title 50 App. U.S.C. Sections 501-536, 560, and 580-594, as that law existed on April 1, 2003.

Military Paid Leave and State Service: Employees called to active duty during a national emergency to serve in a reserve component of the U.S. Armed Forces under Title 10 or 32 of the U.S. Code are entitled to state service for longevity purposes, vacation leave accruals, and sick leave accruals while on an unpaid leave of absence. This leave will be accrued but not posted until the employee returns to state employment. In addition, the employee retains his/her leave balances unless the employee chooses to use any accrued leave (vacation or compensatory time) to maintain benefits for the employee or the employee’s dependents while on military duty. Additionally, the employee may continue to accrue service credit with ERS by receiving at least one hour of state pay during each month of active military service. The employee may use any combination of paid

leave to qualify for state pay.

Military Differential Pay: The university shall grant sufficient emergency leave to provide a pay differential if the employee's military gross pay is less than the employee's state gross pay. The combination of gross military pay and emergency leave may not exceed the employee's actual state gross pay. Pay received while assigned to a combat zone, hardship duty pay, and family separation pay is excluded when computing military differential pay. The employee should be notified of the university's intent to use emergency leave to supplement his/her military pay to raise it to a rate comparable to the state pay received prior to activation. Only state employees called to active duty in support of a national emergency or Homeland Security mission (under U.S.C. Title 10 or 32) and who's military pay is less than their gross state pay are eligible for differential pay.

Service members involved in routine military training or who are attending military schools are not entitled to this differential pay. If emergency leave is granted to employees activated for military duty, those employees will accrue sick leave and vacation leave, as appropriate, each month they receive pay from the university. The sick and vacation hours will be accrued but not posted until the employee returns to full employment with the university. To determine eligibility, the employee must provide a copy of his/her Military Leave and Earnings Statement each month that emergency leave is going to be granted to look at the total entitlement of military pay received by the service member. The service member's pay may change during the period of active duty because of a promotion or change in entitlements; any increase in pay may reduce or cease the need for state military differential pay.

Military Restoration of Employment: To be eligible for restoration of employment at the conclusion of military service, the employee must be honorably discharged no later than five years after induction, enlistment, or call to duty and must be physically and mentally qualified to perform the duties of the job. If an employee is unable to perform the duties of the previous job due to a service-related disability, the veteran is entitled to be restored to a position that he or she can perform with similar or the nearest possible seniority, status, and pay. Veterans whose employment has been restored may not be dismissed without cause within a year of their reinstatement. Eligible veterans must apply for reinstatement within 90 days after discharge or release from service. The application must be made in writing to the president of the university and must include evidence of discharge under honorable conditions. An individual reemployed is considered to have been on furlough or leave of absence during the time that he/she was in military service. As such, the employee may participate in retirement or other benefits to which a state employee is or may be entitled.

Medical and Mental Health Care Leave for Veterans: Veterans receiving health benefits under a program administered by the Veterans Health Administration of the United States are eligible for leave to obtain medical or mental health care administered by Veterans Health Administration of the United States Department of Veterans Affairs, including physical rehabilitation. Leave may not exceed 15 days each fiscal year unless the president grants additional leave.

~~Certified Red Cross Activities~~*Texas Voluntary Organizations Active in Disaster* Leave ~~–~~ *An* ~~E~~*e*mployee~~s~~ who ~~are certified disaster service~~*is a* volunteer~~s~~ of ~~the American Red Cross or are in training to become such a volunteer~~*an organization that is a member of the Texas Voluntary*

Organizations Active in Disaster may be granted a paid leave of absence not to exceed 10 days each fiscal year *to participate in disaster relief services for a state of disaster declared by the governor*. The employee must have the approval of his or her supervisor and ~~a formal request from the Red Cross~~*the president*. ~~In addition, the approval of the governor's office is required.~~ An employee on such leave will not lose pay, vacation time, sick leave, earned overtime, and/or compensatory time during this leave. ~~The pool of certified disaster volunteers must not exceed 350 participants at any one time.~~

Amateur Radio Operator Leave - An employee with an amateur radio station license issued by the Federal Communications Commission will be granted a paid leave of absence not to exceed 10 working days each fiscal year to participate in specialized disaster relief services. An employee on such leave will not lose pay, vacation time, sick leave, overtime leave, or compensatory time. The amateur radio operator leave must be authorized by the employee's supervisor and must have the approval of the governor. The number of amateur radio operators eligible for this leave may not exceed 350 state employees at any one time.

Volunteer Firefighters/Emergency Medical Services/Search and Rescue Volunteers Training Leave - Volunteer firefighters, emergency medical services volunteers, and search and rescue volunteers will be granted a paid leave of absence not to exceed five working days each fiscal year for attending training schools conducted by state agencies or institutions of higher education. Such individuals may also be granted leave without a deduction in salary for the purpose of responding to an emergency fire, medical, or search and rescue situation.

Legislative Leave for Peace Officers or Firefighters - A peace officer is entitled to legislative leave to serve in, appear before, or petition a governmental body during a regular or legislative session. Legislative leave is not considered a break in service and is treated as any other paid leave.

To be eligible for legislative leave, a peace officer or firefighter must submit a written application to his or her employer on or before the thirtieth day before the employee intends to begin the legislative leave. The application must state the length of requested leave and that the peace officer or firefighter is willing to reimburse the employer for any wages, pension, or other costs the employer will incur as a result of the leave. The length of the requested leave may not exceed the length of the session.

Mental Health Leave for Peace Officers - *A traumatic event is an event which occurs in the peace officer(s) scope of employment when the officer is involved in the response to, or investigation of, an event that causes the officer to experience unusually strong emotional reactions or feelings which have the potential to interfere with their ability to function during or after the incident.*

Traumatic events may include, but are not limited to, the following:

1. *Major disasters which may include response to weather related events involving multiple casualties; or explosions with multiple casualties; or search and recovery missions involving multiple casualties;*
2. *Incidents involving multiple casualties which may include shootings or traffic accidents;*
3. *Line of duty death or suicide of a department member;*
4. *Death of a child resulting from violence or neglect;*

5. *Officer(s) involved shooting of a person.*

An officer directly involved in a traumatic event may request the use of mental health leave. The request shall be made in writing through the chain of command. The request shall be treated as a priority matter and a decision on the granting of the leave shall be made no later than 24 hours following the submission of the request. The request shall be granted unless the chain of command can articulate specific compelling reasons to deny granting the leave.

Any request for mental health leave shall be treated as strictly confidential by all parties involved and shall not be discussed or disclosed outside the officer's immediate chain of command except as necessary to facilitate the use of the leave. Any officer or supervisor who becomes aware of behavioral changes and suggests the officer seek mental health leave shall not discuss that matter with any third party. Any breach of confidentiality shall be grounds for discipline. -Confidentiality may be waived by the officer seeking mental health leave. Confidentiality may be waived under circumstances which indicate the officer is a danger to themselves or others and department personnel must confer with mental health professionals.

An officer directly involved in a traumatic event may request up to three working days of mental health leave. Extensions of mental health leave may be available under certain circumstances. Any request for an extension shall be accompanied by documentation from a mental health professional who is counseling the officer. The request may extend the leave by three working days. Each officer may request no more than two extensions, each supported by sufficient documentation by the mental health professional. The Chief of Police shall grant the extension(s) upon the receipt of sufficient documentation explaining the need for the extension.

This leave will be provided without a deduction in salary. An officer on such leave will not lose vacation time, sick leave, earned overtime, or compensatory time during this leave.

Assistance Dog Training - An employee with a disability as defined by Texas Human Resources Code, Section 121.002 shall be granted a paid leave up to 10 working days in a fiscal year for the purpose of attending a training program to acquaint the employee with an assistance dog to be utilized by the employee. This leave is in addition to other leave entitlements.

Organ or Bone Marrow Donors - An employee is entitled to a leave of absence without a deduction in salary for the time necessary to permit the employee to serve as a bone marrow or organ donor. The leave of absence may not exceed five working days in a fiscal year to serve as a bone marrow donor or 30 working days in a fiscal year to serve as an organ donor.

Donation of Blood - An employee shall be allowed sufficient time off, without a deduction in salary or accrued leave, to donate blood. An employee must obtain approval from his/her supervisor prior to taking off. On returning to work, an employee shall provide his/her supervisor with proof that the employee donated blood during the time off. An employee may receive time off not to exceed more than four times in a fiscal year.

Court Appointed Special Advocate Leave - An employee who is a Court Appointed Special Advocate (CASA) volunteer is entitled to leave not to exceed five hours each month. Leave is to

be used to participate in mandatory CASA training or to perform CASA voluntary services. Employees will not be required to use accrued vacation and sick leave or earned overtime.

Compliance with a Subpoena - An employee may not be discharged, disciplined, or penalized for complying with a subpoena to appear in a civil, criminal, legislative, or administrative proceeding. It will be up to the university's discretion in instances of unofficial testimony to decide whether such an absence is considered good cause.

Time Off to Vote - Employees will be allowed sufficient time off, without a deduction in pay or accrued leave, to vote in each national, state, or local election if there is not sufficient time to vote outside regular working hours.

Cross Reference: Tex. Hum. Res. Code § 121.002; Tex. Gov't. Code §§ *418.004; 437.202;* 613.002-.005, 614.003-004, .008, *.015,* 658.008; 659.005; 661.206, .251-.252, .901(c)-.907*5,* .909-911, .913-.914, .916-.924; Tex. Lab. Code § 52.051*; Faculty Development Leaves (12.7); Family and Medical Leave (12.9)**;** Sick Leave (12.18); Vacation Leave (12.21); Workers Compensation Coverage (12.23)*

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Bereavement Leave Request form; Administrative Leave Request form; Leave *W*~~w~~ithout Pay form for *Departmental*~~HR~~ Approval, Leave *W*~~w~~ithout Pay form for President*ial* Approval.

Board Committee Assignment: Academic and Student Affairs

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Moving Expenses

Policy Number: 3.23

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

Date of last revision, if applicable: 4/30/2019

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

Purpose of Policy (what does it do): This policy establishes the guidelines whereby Stephen F. Austin State University may pay moving expenses for a newly hired faculty or staff member.

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

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

☐ Internal Review ☒ Other, please explain: Requested review

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Reworded to improve efficiency.

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Scott Gordon, President
Damon Derrick, General Counsel

Moving Expenses

Original Implementation: December 1988
Last Revision: *November 1, 2021*~~April 30, 2019~~

Purpose

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

General

The university may pay reasonable moving expenses for a newly hired faculty or staff member. However, payment of moving expenses is not an entitlement. It is an option, with terms to be agreed upon between the university and the prospective employee in advance. Prior approval of the ~~university president~~*vice president or head of the division (cabinet level) as appropriate* is required.

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

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

The controller's office will coordinate all payments for moving expenses, and the required information must be submitted before any moving expense can be processed for payment. The taxability of moving expenses will be determined by Internal Revenue Service (IRS) guidelines. Any taxable amount, whether paid directly to the vendor or reimbursed to the employee, will be included in taxable wages on the employee's Form W-2 and subject to federal income tax and FICA (social security) withholdings. Any mileage reimbursements will be paid at the IRS rate in effect for moving expenses on the date of the move unless a lower rate is negotiated by the department.

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

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

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

Board Committee Assignment: Academic and Student Affairs

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Naming Guidelines

Policy Number: 1.5

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

Date of last revision, if applicable: 10/29/2018

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

Purpose of Policy (what does it do): Guidelines for naming facilities

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: n/a

Specific rationale for each substantive revision: Department Name update.
The president's cabinet has grown to more officers than just vice presidents.

Specific rationale for deletion of policy: n/a

Additional Comments:

Reviewers:

Jill Still, Vice President for University Advancement
Damon Derrick, General Counsel

Naming Guidelines

Original Implementation: January 23, 1971
Last Revision: ~~October 29, 2018~~*November 1, 2021*

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

Amounts associated with fundraising necessary for naming consideration are outlined in the university's Overview of Naming Guidelines and Procedures, available in the office of the vice president for university advancement.

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

Proposed names may be submitted from any source to the Office of *University Advancement* ~~Development~~ for their recommendation to the president who, if *they* ~~he~~ concur~~s~~ shall submit such names, together with background reasons, to the Board of Regents for consideration; provided, however, that the Board of Regents may act without receiving a nomination from the Office of *University Advancement* ~~Development~~, when circumstances justify such action, and particularly when a substantial donation has been made toward the construction of the building or facility to be named. Any such nominations shall be reviewed by the building and grounds committee of the board. Such review shall take place before contact with any prospective nominee.

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

The duration of the naming of facilities, spaces, or programs is governed by the Overview of Naming Guidelines and Procedures. However, ~~in unusual or unforeseen circumstances,~~ the university reserves the right to remove a previously approved name. Examples include, but are not limited to, a donor not fulfilling the terms of a gift agreement upon which the naming was approved, or continuation of the name may compromise the public trust or reputation of the university.

Cross Reference: Overview of Naming Guidelines and Procedures

Responsible for Implementation: Vice President for University Advancement

Contact for Revision: Vice President for University Advancement

Forms: None

Board Committee Assignment: Building and Grounds

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Notary Public

Policy Number: 2.8

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

Date of last revision, if applicable: 10/29/2018

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

Purpose of Policy (what does it do): This policy establishes procedures for ensuring that a sufficient number of notaries are present in order to conduct university business.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor changes.

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Notary Public

Original Implementation: Unpublished
Last Revision: ~~October 29, 2018~~*November 1, 2021*

Purpose

This policy establishes procedures for ensuring that a sufficient number of notaries are present in order to conduct university business.

General

It is the responsibility of each ~~vice president~~*president's cabinet member* to ensure that a sufficient number of public notaries are present, as needed to conduct university business, in each major university division.

Each ~~vice president~~*president's cabinet member* shall establish procedures for approving, in writing, an employee's application for notary commission, and be responsible for communicating the state's notary application process. University funds may be used to purchase the necessary supplies. Employees shall obtain all required supplies (notary seal or stamp, notary public record book, etc.) through procurement and property services.

Cross Reference: Tex. Gov't Code Ch. 406

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: Special Application, State Employee Notary Acknowledgement Form

Board Committee Assignment: Academic and Student Affairs

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Organized Work Stoppage

Policy Number: 11.18

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

Date of last revision, if applicable: 10/29/2018

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

Purpose of Policy (what does it do): This policy establishes guidelines for utilizing sick leave during an organized work stoppage.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor changes.

Reviewers:

John Wyatt, Interim Director Human Resources
Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Organized Work Stoppage

Original Implementation: October 21, 1978
Last Revision: ~~October 29, 2018~~*November 1, 2021*

Purpose

This policy establishes guidelines for utilizing sick leave during an organized work stoppage.

General

Participation by any employee in an organized work stoppage has been declared to be against the public policy of the state of Texas. No employee of the university may strike or engage in an organized work stoppage against the university. In any case when there is substantial evidence to indicate that an organized work stoppage exists in any division or department of the university, an employee reporting ill shall send to the administrative head of his/her department or division a doctor's certificate showing the cause or nature of the illness to be entitled to sick leave pay.

Cross Reference: Tex. Gov't Code Ch. 617*; Sick Leave (12.18)*

Responsible for implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: None

Board Committee Assignment: Academic and Student Affairs

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Private Support Organizations or Donors

Policy Number: 3.25

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

Date of last revision, if applicable: 10/29/2018

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

Purpose of Policy (what does it do): Lists requirements of private support organizations or donors

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: n/a

Specific rationale for each substantive revision: n/a

Specific rationale for deletion of policy: n/a

Additional Comments:

No changes.

Reviewers:

Jill Still, Vice President for University Advancement
Damon Derrick, General Counsel

Private Support Organizations or Donors

Original Implementation: July 9, 1991
Last Revision: ~~October 29, 2018~~*November 1, 2021*

Pursuant to Chapter 2255 of the Texas Government Code, the university will recognize only those private support organizations that meet the requirements of this policy as being formed and designated to further the purposes and duties of the university.

Any organization or donor (whether existing as a corporation or as an unincorporated association) that is formed to further the purposes and duties of the university must enter into a written agreement with the university, approved by the Board of Regents. If the board declines to enter into such an agreement, the private support organization or donor is deemed not to further the purposes and duties of the university, and the board expressly forbids the use of the name, property, or employees of the university in any actions or activities on the part of the private support organization or donor. The agreement will address and govern all aspects of conduct of the university and its employees in the relationship between the private support organization or donor and the university and its employees including, but not limited to, the following:

A. administration and investment of funds received by the organization for the benefit of the university;
B. use of an employee or property of the university by the donor or organization;
C. service by an officer or employee of the university as an officer or director of the donor or organization; and
D. monetary enrichment of an officer or employee of the university by the donor or organization.

Nothing in this policy requires that the university include only the above provisions as subject matter in the agreement between the university and the private support organization or donor. The board has the responsibility to enter into that form of agreement which the board, in the exercise of its statutory authority, determines is in the best interest of the university.

Neither this policy nor any agreement entered into by the university may conflict or supersede a requirement of a state or federal statute regulating the conduct of a university employee or regulating the policies and procedures of the university.

Cross Reference: Tex. Gov't Code § 2255.001

Responsible for Implementation: Vice President for University Advancement

Contact for Revision: Vice President for University Advancement

Forms: None

Board Committee Assignment: Finance and Audit

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Sick Leave

Policy Number: 12.18

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

Date of last revision, if applicable: 10/28/2019

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

Purpose of Policy (what does it do): This policy establishes the eligibility to earn sick leave, defines the rates of accrual and describes related requirements.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for <u>each</u> substantive revision: 87th Legislature created new leave provisions for sick leave to include the creation of a family leave pool. This revision addresses those additions.

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording and formatting changes and clarifications were made, as well.

Reviewers:

John Wyatt, Interim Director of Human Resources
Judi Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Sick Leave

Original Implementation: Unpublished
Last Revision: ~~October 28, 2019~~*November 1, 2021*

Purpose

This policy establishes the eligibility to earn sick leave, defines the rates of accrual and describes related requirements.

Definitions

A **catastrophic injury** or **catastrophic illness** is defined as a severe condition or combination of conditions affecting the mental or physical health of the employee, or the employee's immediate family, that requires the services of a licensed practitioner for a prolonged period of time and that forces the employee to exhaust all leave time earned by the employee and lose sick leave compensation from the state.

A **severe condition** or **combination of conditions** is one that will result in death or is a severely debilitating condition that will result in the individual not meeting the essential functions of their job if not treated promptly or at regularly scheduled intervals (e.g. chemotherapy treatments, radiation treatments, etc.); has been designated as terminal; or fully incapacitates the employee from working for a continuous period of thirty (30) calendar days or more.

Licensed practitioner means a practitioner, as defined in the Texas Insurance Code, who is practicing within the scope of his/her license.

Immediate family is defined as those individuals related by kinship, adoption, or marriage, or foster children who are so certified by the Texas Health and Human Services Commission who are living in the same household. If not in the same household, an immediate family member is strictly limited to the employee's spouse, child or parent who needs care and assistance as a direct result of a documented catastrophic medical condition. Employees may use sick leave pool hours to care for an immediate family member only under circumstances for which an employee would be eligible to use regular sick leave, if available.

Medical incident means a single occurrence of a catastrophic illness/injury.

General

Regular, consistent attendance and punctuality is expected of all university faculty and staff, as well as the proper use of leave time when an absence is necessary.

Accrual of Sick Leave

Employees of the university, whose positions do not require student status as a condition of employment, shall, without deduction in salary, be entitled to sick leave subject to the following

conditions. Employees of the SFA Charter School will earn sick leave according to charter school policy.

Sick leave entitlement shall be earned, beginning on the first day of employment, at the rate of eight (8) hours for each month or fraction of a month of employment, and shall accumulate with the unused amount of such leave carried forward each month. An employee who is on leave the first day of the month may not use the sick leave that the employee accrues for that month until after a return to duty. Such leave accrual shall terminate on the last day of duty.

An employee's accrued sick leave balance will be transferred when an employee moves from employment in one state agency to another, provided the employment is uninterrupted. Part- time employees working at least 20 hours per week accrue sick leave proportionately to their FTE.

Employees employed by multiple agencies cannot accrue sick leave at a rate that exceeds that of a full-time, 40-hour-per-week employee.

Separation from Employment

Employees of the university who separated from employment under a formal reduction in force are entitled to have their sick leave balances restored if they are re-employed by the state within 12 months. Employees separated from the university, for reasons other than a formal reduction in force, and re-employed by SFA may have their sick leave balances restored only if:

1. The employee is re-employed by the university within 12 months after the end of the month in which the employee separates from employment, but only if there has been a break in employment from the university of at least 30 calendar days; or
2. The employee is re-employed by a different state agency or institution of higher education within 12 months after the end of the month in which the employee separated from the university.

The university has no authority to pay out an employee's accrued but unused sick leave balance upon termination. An employee who is restored to employment at the university following military service is entitled to have his/her sick leave balance restored. Employee Retirement System (ERS) retirees who return to state employment will not have their sick leave balances restored.

Funds appropriated for salaries and wages may be paid for all of the employee's accumulated vacation leave and for one-half of his/her accumulated sick leave, or for 336 hours of sick leave (whichever is less), to the estate of an employee when said employee dies while employed by the university. The employee must have had continuous employment with the university for at least six months at the time of death. The payment shall be calculated at the rate of compensation being paid the employee at the time of death.

Sick Leave Utilization

Sick leave with pay may be taken when sickness, injury, or pregnancy and confinement prevent the employee's performance of duty, or when a member of the employee's immediate family is actually

ill. For purposes relating to regular sick leave, immediate family is defined as those individuals related by kinship, adoption or marriage that are living in the same household; foster children who reside in the same household; and minor children regardless of whether they live in the same household. Sick leave may be used to care for immediate family members who do not reside in the same household only for a documented medical condition. In this instance only, "immediate family" is interpreted as spouse, parent, or child. An employee who is the legal guardian of a child by court appointment may use sick leave to care for the child. Sick leave may be used for the adoption of a child under the age of three. An employee who must be absent from duty because of illness shall notify their supervisor or cause the supervisor to be notified of that fact at the earliest practical time. Non-faculty employees who return to work following sick leave use must complete a sick leave request using an electronic process or a physical form. The request and approval process must be documented and retained in association with state-regulated records retention requirements.

To be eligible for accumulated sick leave with pay during a continuous period of more than three (3) working days, an employee absent due to illness shall send to the administrative department head a doctor's certificate verifying the employee was out due to medical reasons. If an illness results in the absence of three (3) working days or less, the administrative head has the discretion to require documentation verifying the employee was out due to medical reasons. Upon returning to duty after sick leave, an employee shall immediately complete either a Request for Vacation, Compensatory Time, Sick Leave Taken form, request/report the leave electronically through the system leave request form, or document the leave in a manner established by the department head.

An employee may use sick leave while he/she is on annual leave.

Participation by any employee in an organized work stoppage has been declared to be against the public policy of the state of Texas. In any case when there is substantial evidence to indicate that an organized work stoppage exists in any division or department of the university, an employee reporting ill shall send to the administrative head of his/her department or division a doctor's certificate showing the cause or nature of the illness to be entitled to sick leave.

Sick Leave Utilization for Faculty

Faculty must submit leave forms (as designated by the department head) for all sick leave the faculty member takes if the absence occurs during the normal workday for regular employees, even if no classes are missed.

Faculty are allowed to use their sick leave for personal or family illness and for personal leave within these guidelines:

1. If a faculty member needs to take time off to handle personal business, personal leave may be used for that purpose with prior approval from their department head.
2. If a faculty member misses a class, even if a substitute covers the class, the time missed is to be reported.
3. If a faculty member is out on a continuous basis, two days or more, they must turn in leave for 8 hours for each day.
4. If a faculty member misses office hours, due to illness or personal business, they must turn in

leave for the time missed.

Extension of Sick Leave

Pursuant to sections 661.202(i) and (j) of the Texas Government Code, an extension of sick leave may be granted through the university policies of Family and Medical Leave (12.9) or Leaves of Absence *and Miscellaneous Leave* (12.11) or utilization of the sick leave pool *or family leave pool*.

Sick Leave for Educational Activities

An employee may use up to eight (8) hours of sick leave each fiscal year to attend school sponsored educational activities of the employee's children who are in pre-kindergarten through 12th grade, including a parent-teacher conference, tutoring, volunteer program, field trip, classroom program, school committee meeting, academic competition, and athletic, music, or theater program.

Donation of Sick Leave to an Employee

Employees may donate any amount of their accrued sick leave to another employee who is employed by the university and who is eligible to accrue and use sick leave but has exhausted all of their sick leave, including time the employee may be eligible to receive as an award from the sick leave pool.

Employees may not provide or receive remuneration or a gift in exchange for a sick leave donation. The use of sick leave donated to the recipient employee must follow the same conditions as normal accrued sick leave as outlined in this policy. Donated sick leave cannot be used towards ERS retirement service credit. Donated sick leave cannot be transferred to another state agency. Donated sick leave cannot be paid out to the estate of an employee if the recipient employee passes away. Donated sick leave hours will be lost when the recipient employee leaves employment and will not be reinstated if the recipient is rehired by the university at a later date. Donated sick leave hours do not get returned to the donor if the recipient does not use them all.

Sick Leave Pool

The university maintains a sick leave pool to benefit certain regular employees who suffer a catastrophic injury or illness. A sick leave pool has been established and is maintained to provide for the alleviation of the hardship caused to an employee and the employee's family if a catastrophic illness or injury forces the employee to exhaust all accrued leave (including compensatory time, if applicable) and lose compensation with the state.

Eligibility and Other General Provisions

1. All regular faculty and non-probationary staff members who are eligible to accrue and use sick leave in accordance with university sick leave policy 12.18 and have a minimum of one year of service may apply to use sick leave from the sick leave pool. The service must immediately precede the sick leave pool request.
2. Employees may use sick leave pool for their own catastrophic illness or injury or for one in their immediate family, as defined above.

3. The use of sick leave pool hours is limited to 720 hours per medical incident.
4. An employee must exhaust all available leave before being eligible to receive sick leave from the sick leave pool.
5. An employee must have utilized their accrued leave in a responsible manner to be eligible to use sick leave pool unless the leave is specifically donated to the employee. Regular, consistent attendance and punctuality is expected of all university faculty and staff, as well as the proper use of leave time when an absence is necessary. Sick leave used as it is earned is not considered to be responsible use, unless there are extenuating circumstances.
6. An employee utilizing sick leave from the sick leave pool continues to accrue vacation and sick leave entitlement as if on regular sick leave, provided he/she returns to work following the leave.
7. An employee approved for sick leave pool due to a catastrophic illness or injury that is absent from work for a minimum of 30 calendar days and is able to return to work on a part-time basis may continue to utilize the remaining allocated sick leave pool hours on an intermittent basis if the continuing treatment requires the employee to exhaust their leave balance awarded upon their return to work. Employees will be required to provide medical documentation supporting the employee's fitness for duty on a part-time basis and a continuing need for medical treatments and subsequent absences. The treatments and absences must be directly related to the initial qualifying medical incident.
8. Employees who are not covered by FMLA (policy 12.9) and who are offered a bona fide job offer under the university's Return to Work (policy 11.24) must accept the offer or sick leave pool benefits will end.
9. Employees who file for Worker's Compensation Benefits are not eligible to use sick leave from the sick leave pool. In no case may sick leave pool time be used in conjunction with a worker's compensation claim.
10. A routine pregnancy is not considered a catastrophic illness or injury.
11. A regular part-time employee is granted pool leave on a pro-rated basis.
12. One sick leave pool will be administered for all regular faculty and staff employees of the university.

Requesting Sick Leave from the Pool

1. A regular employee may apply for sick leave from the sick leave pool by completing a Request for Sick Leave from the Sick Leave Pool form and routing the form to the pool administrator in human resources.
2. Medical certification is required before the sick leave pool request can be reviewed by the administrator. Weekly documentation of appointments and/or treatment must be submitted to the pool administrator. Failure to return the required certification and documentation may result in loss of pool benefits.
3. The pool administrator verifies that the medical documentation supports the request for sick leave pool. The pool administrator maintains all medical documentation and adheres to standards of confidentiality, to the extent allowed by law. The pool administrator routes the request to the department director for a recommendation for approval, disapproval or an adjustment in the number of sick leave pool hours awarded based upon the employee's previous use of sick leave.
4. The pool administrator, upon receipt of the department director's recommendation approves

all or part of the request, or denies the request. If necessary, the pool administrator may seek additional information from both the supervisor and the employee to clarify the employee's previous use of sick leave or to request additional medical documentation. All practitioner's statements and medical updates are subject to be referred to and reviewed by a university medical review board.

5. The amount of the pool leave granted for each catastrophic illness or injury will be determined by the pool administrator. The amount granted cannot exceed one-third of the balance of hours in the pool. However, in no case may an employee use more than 90 work days from the pool. Initiation and/or renewal of approval for use of such leave shall be subject to review of a current medical report for each approval period, and subject to availability of appropriate balance in the fund.
6. Medical updates are required every 30 days, unless otherwise indicated. Failure to return required medical documentation may result in delay or loss of pool benefits.
7. Any unused balance of leave granted to an employee from the sick leave pool returns to the pool if the employee returns to work prior to using all days granted unless medical documentation is submitted to support the need for reduced hours relating to the initial medical incident. All of an employee's monthly leave accruals (vacation/sick leave) must be utilized towards the medical incident prior to using sick leave pool balances. Medical incidents that require reduced hours on a continuous or permanent basis will be addressed through the SFA accommodations process.
8. The estate of a deceased employee is not at any time entitled to payment for unused leave requested from the sick leave pool.
9. An employee's sick leave pool award will immediately stop once the catastrophic medical condition for which it was granted ceases.

Contributing Sick Leave to the Pool

1. An employee with accrued sick leave may contribute to the sick leave pool in increments of eight hours, with the exception of a retiring employee who may contribute accrued sick leave in increments of less than eight hours.
2. Sick leave contributed to the pool reduces the accrued sick leave balance of the employee making the contribution.
3. Contributions to the pool are strictly voluntary.
4. An employee contributing sick leave to the sick leave pool may not stipulate who is to receive the contribution.
5. An employee who contributes sick leave to the sick leave pool cannot reclaim the contribution unless entitled to use leave from the sick leave pool. An employee who contributes sick leave to the sick leave pool and then exhausts his/her sick leave balance in the same fiscal year may receive the number of hours he/she contributed to the pool in that fiscal year without suffering a catastrophic illness or injury.
6. An employee desiring to contribute sick leave to the sick leave pool should complete an Application to Contribute Sick Leave form, provide a copy to his/her department head, and route the form to the pool administrator in human resources.

Administration of the Pool

1. The pool administrator in the Human Resources Department is responsible for the administration of the sick leave pool. Decisions of the pool administrator may be appealed to the appropriate vice president.
2. Requests for sick leave from the sick leave pool will be forwarded to the pool administrator. Requests will be considered by the pool administrator on a first-come, first-served basis. Employees may submit a request for sick leave pool hours when they are running out of accrued leave. The request will be considered when they have exhausted all accrued time.
3. The pool administrator will have five working days from the date a request is received in which to approve all or part of the request or deny the request.
4. The amount of sick leave granted for each catastrophic illness or injury will be determined by the pool administrator. The amount cannot exceed one-third of the balance of hours in the pool, or 90 working days, whichever is less. The pool administrator shall approve the use of not more than thirty (30) days of such leave by one individual at one time. Initiation and/or renewal of approval for use of such leave will be subject to review of a current medical report for each thirty (30) day approval, and is subject to availability of appropriate balance in the fund.
5. The pool administrator shall design and implement a system of records management and reporting of sick leave pool activity. The total leave time available in the sick leave pool shall be reported annually to the director of human resources and be available upon request to faculty and staff.

Family Leave Pool

The university maintains a family leave pool to benefit certain regular employees who have need for additional leave due to an eligible family leave need. Employees may voluntarily transfer previously earned sick or vacation leave to the family leave pool.

The purpose of the family leave pool is to:

1. *provide eligible employees more flexibility in:*
    - *bonding with and caring for children during a child's first year following birth, adoption, or foster placement; and*
    - *caring for a seriously ill family member or the employee, including pandemic-related illnesses or complications caused by a pandemic; and*
2. *allow employees to apply for leave time under the family leave pool.*

Contributing to the Family Leave Pool

1. *An employee with accrued sick leave or vacation leave may contribute to the family leave pool in increments of eight hours, with the exception of a retiring employee who may contribute applicable accrued leave in increments of less than eight hours.*
2. *Eligible leave contributed to the pool reduces the accrued leave balance(s) of the employee making the contribution.*
3. *Contributions to the pool are strictly voluntary.*
4. *An employee contributing eligible leave to the family leave pool may not stipulate who is to receive the contribution.*
5. *The pool administrator will credit the family leave pool with the amount of time contributed*

by an employee and direct the appropriate office to deduct a corresponding amount from that employee's earned sick or vacation leave as if the employee had used the time for personal purposes.

Requesting Leave from the Family Leave Pool

1. *An employee is eligible to use time contributed to a family leave pool if the employee has exhausted the employee's eligible compensatory, discretionary, sick, and vacation leave because of:*
    - *the birth of a child;*
    - *the placement of a foster child or adoption of a child under 18 years of age;*
    - *the placement of any person 18 years of age or older requiring guardianship;*
    - *a serious illness to an immediate family member or the employee, including a pandemic-related illness;*
    - *an extenuating circumstance created by an ongoing pandemic, including providing essential care to a family member; or*
    - *a previous donation of time to the pool.*
2. *An employee may apply to the pool administrator to request an award from the family leave pool. Applications must be submitted on the form provided by the pool administrator.*
3. *The pool administrator will consider applications in the order in which they are received and will approve or deny an application as soon as practicable after receipt.*
4. *If a pool administrator determines an employee is eligible, the administrator shall approve the transfer of time from the pool to the employee and credit the time to the employee.*
5. *An employee who applies to use time to care for another person under this policy must submit and be listed on the other person's birth certificate, birth facts, or adoption or foster paperwork for a child under 18 years of age, including being listed as the mother, father, adoptive parent, foster parent, or partner of the child's mother, adoptive parent, or foster parent or must provide documentation that the employee is the guardian of a person who is 18 years of age or older and requiring guardianship.*
6. *If an employee is seeking permission to withdraw time because of a serious illness, including a pandemic-related illness, of an immediate family member or the employee and does not qualify for or has exhausted time available in the sick leave pool, the employee must provide the pool administrator with a written statement from the licensed practitioner who is treating the employee or the employee's immediate family member.*
7. *If an employee is seeking permission to withdraw time because of an extenuating circumstance created by an ongoing pandemic, including providing essential care to a family member, the employee must provide any applicable documentation, including an essential caregiver designation, proof of closure of a school or daycare, or other appropriate documentation.*

Administration of the Family Leave Pool

1. *The pool administrator in the Human Resources Department is responsible for the administration of the family leave pool. Decisions of the pool administrator may be appealed to the appropriate vice president.*
2. *In determining the amount of family leave to be awarded to an eligible employee from the family leave pool, the pool administrator shall take into consideration the information contained in the employee's application, the number of applications then pending, and the amount of family leave available in the pool.*
3. *In no event shall the family leave awarded to an eligible employee from the pool exceed ninety (90) days or one-third (1/3) of the family leave pool balance, whichever is less.*
4. *Upon approval of an employee's application, the pool administrator shall notify the appropriate office of the amount of family leave to be awarded to the employee.*
5. *The employee may use family leave awarded from the pool in the same manner as sick leave earned by the employee and shall be treated for all purposes as if the employee were absent on earned sick leave.*
6. *The estate of a deceased employee shall not be entitled to payment for unused sick leave awarded from the family leave pool.*

Cross Reference: Tex. Gov't Code §§ 661.001-.038, .201-207; Tex. Gov't Code Ch. 617; Tex. Educ. Code § 51.961; Non-–Academic Employee Handbook; Organized Work Stoppage (11.18); Family and Medical Leave (12.9); Leaves of Absence *and Miscellaneous Leave* ~~(Faculty and Staff)~~ (12.11).

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Request for Vacation, Compensatory Time, Sick Leave Taken and Sick Leave Donation Form (available from Human Resources)

Board Committee Assignment: Academic and Student Affairs

Appendix 1

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POLICY SUMMARY FORM

Policy Name: Student Code of Conduct

Policy Number: 10.4

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

Date of last revision, if applicable: 7/27/2021

Unit(s) Responsible for Policy Implementation: Vice President of Student Affairs, Assistant Vice President of Student Affairs and Dean of Students, Office of Student Rights and Responsibilities

Purpose of Policy (what does it do): The policy dictates the process and rights for students alleged to have violated University Policies.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Note: Every section in this policy has been adjusted in some way. This update is more akin to a full rewrite of the policy, than merely an update. These updates reflect the mission, values, and goals of the Dean of Students Office and the Office of Student Rights and Responsibilities. This policy change will allow us to continue to educate students while respecting their right to due process.

1. Change in Language - The language used in the policy has been changed to reflect the educational nature of the process, rather than reflect legal terms. The language has also been updated in order to avoid confusion.
2. The entire policy has been reordered to assist in finding information quickly
3. Article III: Violations - Section has been reformatted, and multiple violations have been further clarified, added or removed.
4. Article IV: The Student Conduct Process - Expanded ability to report misconduct, reorganized and clarified the Student Conduct Process, clarified Victim role and rights in the process, clarified roles of those participating in the hearing
5. Article V: Sanctions: Expanded and clarified sanctions
6. Article VI: Appeals: Added an additional method of appeal to allow students or student

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organizations to appeal based on their rights being violated as outlined by this policy.
Article VII: Interim Measures - Moved interim Measures to its own article. Further clarified the definition and right to submit a written request for a review
7. Article VIII: Records - Increased the retention of records to seven years after the outcome of the Student Conduct Process.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Nathan Hendrix, Director - Office of Student Rights and Responsibilities
Andrew Dies, Assistant Vice President of Students Affairs and Dean of Students
Brandon Frye, Vice President of Student Affairs
Damon Derrick, General Counsel

Student Code of Conduct

Original Implementation: January 19, 1988
Last Revision:.~~July 27, 2021~~ *November 1, 2021~~;~~*

This version of the Student Code of Conduct policy is effective January 1, 2022.

General Policy

Choosing to join the Stephen F. Austin (SFA) State University community obligates one to adhere to a code of behavior that embraces academic and personal integrity; respect for the dignity, rights and property of others; and an intolerance of ~~bigotry~~*discrimination and harassment*. In keeping with this obligation, students and student organizations are expected to comply with the standards outlined in the Student Code of Conduct.

The SFA Way

The SFA community holds itself to a standard called The SFA Way. At its basis, The SFA Way encourages the entire university community to "strive for personal excellence in everything we do." The SFA Way encourages students to follow the principles of Respect, Caring, Responsibility, Unity, and Integrity.

~~This document is organized into the following sections:~~

~~Article I: Definitions~~
~~Article II: Proscribed Conduct/Violations~~
~~Article III: Procedures~~
~~Article IV: Non-Discrimination, Interpretation and Revision~~

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Appendix 1

Article I: Definitions
~~**ARTICLE I: DEFINITIONS**~~

1. *The term "Advisor" means an individual serving as a guide for a Charged Student, Student Organization, or a Victim during the Student Conduct Process.*
1. ~~The term "university" means Stephen F. Austin State University.~~
2. *The term "Appeal" means the review by the designated Appeal Officer of the full record of the Student Conduct Process and the Sanctions imposed to determine the adequacy of the procedures used, determination of responsibility, and the fairness of the sanctioning.*
2. ~~The term "student" includes all persons enrolled at the university. Persons who withdraw after allegedly violating the Student Code of Conduct, who are not officially enrolled for a particular term but have or are expected to have a continuing relationship with the university, or participate in university sponsored activities prior to enrollment, are considered "students;" as are persons who are living in university residence halls, although not enrolled. For the purposes of this regulation, "student" may also include an organization.~~
3. *The term "Appeal Officer" means a person or persons authorized by the Vice President of Student Affairs to consider an Appeal of an Outcome of the Student Conduct Process.*
3. ~~The "vice president for student affairs" is the person designated by the university president to be responsible for the administration of the Student Code of Conduct.~~
4. *The term "Charged Student" means a Student who has been alleged to have violated one or more provisions within the Student Code of Conduct.*
4. ~~The term "student conduct administrator" means a university official authorized by the vice president for student affairs to administer the student code of conduct and to recommend sanctions to the dean of students.~~
5. *The term "Conduct Officer" means person authorized by the Vice President of Student Affairs to administer the Student Code of Conduct.*
5. ~~The term "student conduct hearing board" means individuals who serve upon request to adjudicate student conduct hearings, and to recommend sanctions to the dean of students.~~
6. *The term "Dean of Students" means the individual further designated by the Vice President of Student Affairs with responsibility for administering the Student Code of Conduct. For the purposes of this policy, "Dean of Students" may refer to that individual's designee.*
6. ~~The term "dean of students" means the individual further designated by the vice president for student affairs with responsibility for administering the Student Code of Conduct. For the purposes of this policy, "dean of students" may refer to that individual's designee.~~
7. *The term "Dean of Students Office" means the department designated by the Vice President of Student Affairs for administering the Student Code of Conduct. The Office of Student Rights and Responsibilities is included within the Dean of Students Office.*
7. ~~The term "Dean of Students Office" means the department designated by the vice president for student affairs for administering the Student Code of Conduct. The Office of Student Rights and Responsibilities is included within the Dean of Students Office~~
8. *The term "Email" means the University's recognized medium for means of communicating with Student or Student Organizations per SFA Policy 15.1, Email for University Communication.*
8. ~~The term "complainant" means an individual who is alleged to have been impacted by a violation of this policy.~~

9. *The term "Faculty" or "Faculty Member" means a person hired by the University to conduct classroom or teaching activities or who is otherwise considered by the University to be a member of its faculty.*

~~9. The term "respondent" means a student or organization accused of violating this Student Code of Conduct.~~

10. *The term "Policy" means the written regulations of the University as found in, but not limited to, the University web page and online policy manuals.*

~~10. The term "reporting party" means an individual who submits a report alleging a violation of this Student Code of Conduct. The reporting party and complainant may or may not be the same person.~~

11. *The term "Reporting Party" means an individual who submits a report alleging a violation of this Student Code of Conduct. The Reporting Party and Victim may or may not be the same person.*

~~11. The term "responding party" means a student against whom an allegation of prohibited behavior is directed.~~

12. *The term "Student" includes all persons admitted to the University and are enrolled or are eligible to enroll at the University.*

~~12. The term "due process" means a respondent has or will be given notice of the accusation and an opportunity for a hearing.~~

13. *The term "Student Organization" means any number of Students who meet as a group, whether as a registered Student organization or as an unaffiliated Student organization, on campus or at a recognized University event. This may also include, but is not limited to, sports clubs, athletic teams, and other types of Student groups. The Student Organization's executive officer will serve as the representative for the Student Organization during the Student Conduct Process unless the Student Organization designates in writing to the Dean of Students Office another Student member to represent the Student Organization during the Student Conduct Process.*

~~13. The term, "university-recognized medium" refers to means of communicating with students. In most cases, this will mean a student's official SFA email address.~~

14. *The term "University" means Stephen F. Austin State University.*

~~14. The term "advisor" means an individual accompanying a respondent or a complainant in a student conduct hearing. An advisor may not participate in the hearing in any capacity other than providing advice and support to the student they are accompanying. A student may select anyone to serve as their advisor but may only have one advisor present during the course of a hearing (informal or formal). If the chosen advisor is an attorney, the student must inform the student conduct administrator in advance to allow for the university's attorney to also be present.~~

15. *The term "University Premises" includes all land, buildings, facilities, and other property in the possession of or owned, used, or controlled by the University (including adjacent streets and sidewalks).*

~~15. The term "outcome" means the end result after a hearing (informal or formal).~~

16. *The term "University Official/Staff Member" includes a person employed by the University.*

~~16. The term "appeal" means the review by the designated appellate authority of the full record of a disciplinary hearing and the sanction imposed by a student conduct administrator or hearing board to determine the adequacy of the procedures used and the fairness of the sanctioning. The appeal may or may not include a meeting with the respondent and/or complainant.~~

17. *The term "Vice President of Student Affairs" is the person designated by the University President to be responsible for the administration of the Student Code of Conduct.*

~~17. The term "appellate authority" means a person or persons authorized by the vice president for student affairs or designee to consider an appeal regarding the outcome of the student conduct process~~

18. *The term "Victim" is any individual who has alleged injury or harm by an SFA Student or Student Organization. Victims are entitled to varying levels of participation in the Student Conduct Process, depending on the nature of the allegations. As articulated in the Family Educational Rights and Privacy Act (See 34 C.F.R. § 99.31 and 99.39) a victim who has been subject to Arson, Assault, Burglary, Criminal Homicide, Destruction/damage/vandalism of property, Kidnapping, Robbery, Forcible Sex Offences, or Non-forcible sex offenses (incest or statutory rape) is entitled to be notified of their rights and of the outcome of the disciplinary process. All other victim rights articulated in this regulation apply to all victims.*

~~18. The term "faculty member" means a person hired by the university to conduct classroom or teaching activities or who is otherwise considered by the university to be a member of its faculty.~~

~~19. The term "university official" includes a person employed by the university while in the act of performing assigned responsibilities.~~

~~20. The term "member of the university community" includes any person who is a student, faculty member, or other person employed by the university. A person's status in a particular situation shall be determined by the student conduct administrator.~~

~~21. The term "university premises" includes all land, buildings, facilities, and other property in the possession of or owned, used, or controlled by the university (including adjacent streets and sidewalks).~~

~~22. The term "organization" means any number of students who meet as a group, whether as a registered student organization or as an unaffiliated student organization, on campus or at a recognized university event.~~

~~23. The term "policy" means the written regulations of the university as found in, but not limited to, the university web page and online policy manuals.~~

~~24. The term "shall" is used in the imperative sense.~~

~~25. The term "may" is used in the permissive sense.~~

Article II: Jurisdiction

~~ARTICLE II: VIOLATIONS~~

~~Jurisdiction of the Student Code of Conduct~~

This Student Code of Conduct shall apply to conduct that occurs on *U*~~u~~niversity ~~p~~*P*remises, at ~~u~~*U*niversity sponsored activities, in electronic communities/instructional sites that exist because of or are associated with the ~~u~~*U*niversity and off-campus conduct that adversely affects the ~~u~~*U*niversity community and/or the pursuit of its objectives. The Student Code of Conduct shall apply to a *S*~~s~~tudent~~'s~~ *or Student Organization's* conduct even if a ~~s~~*S*tudent withdraws from ~~school~~ *the University* while a disciplinary matter is pending. The ~~v~~*V*ice *P*~~p~~resident ~~for~~ *of* ~~s~~*S*tudent ~~a~~*A*ffairs or designee shall decide whether the Student Code of Conduct shall be applied to conduct occurring off campus, on a case-by-case basis, at ~~their~~ *that individual's* sole discretion. ~~Student conduct that may be the result of psychological issues may be reviewed under policy 10.13 (Students Displaying Serious Psychological Problems).~~ Student conduct that may be defined as sex-based misconduct may

be reviewed under university policy 2.13 (~~Sex and Gender Based Discrimination, Violence, Harassment, and Misconduct~~*Title IX*).

Article III: Violations

~~**A. Conduct – Rules and Regulations**~~

1. *Harm to others, including but not limited to:*
    - **a.** *Actions which cause or may cause injury, create conditions that cause injury, or which cause a reasonable apprehension of physical injury.*
    - **b.** *Endangering the physical health or safety of any person or actions that cause a reasonable apprehension of such harm.*
    - **c.** *Harassment (physical, verbal, graphic, written, or electronic) that is sufficiently severe, pervasive, or persistent to create an objectively hostile environment that interferes with or diminishes the ability of an individual to participate in or benefit from the services, activities, or privileges provided by the University. This provision shall not be used to discipline a Student or Student Organizations for speech protected by the First Amendment.*
    - **d.** *Physical violence of any nature against any person. This includes fighting; assaulting; battering; using a knife, gun, or other weapon; or acting in a manner that threatens or endangers the physical health or safety of any person or causes a reasonable apprehension of such harm.*
    - **e.** *Acts of animal cruelty, including but not limited to:*
        - **i.** *Intentionally, knowingly, or recklessly torturing, causing serious bodily injury to an animal, or killing an animal.*
        - **ii.** *Failing to provide necessary food, water or care for an animal in the person's custody.*
        - **iii.** *Abandoning an animal in the person's custody.*
        - **iv.** *Causing one animal to fight with another animal or overworking an animal in a manner that may cause serious bodily injury.*
    - **f.** *Sexual Harassment, Quid Pro Quo Sexual Harassment, Hostile Environment Sexual Harassment, Sexual Assault, Domestic Violence, Dating Violence, and Stalking as defined by SFA Policy 2.13, Title IX, and Other Sexual Harassment and Other Unprofessional/Inappropriate Conduct as defined by SFA Policy 2.11, Nondiscrimination.*
    - **g.** *Sexual Exploitation including but not limited to:*
        - **i.** *Taking non-consensual or abusive sexual advantage of another for the benefit of oneself or a third party.*
        - **ii.** *Photography or video recording of another person in a sexual, intimate, or private act without that person's full knowledge and consent.*
        - **iii.** *Purposeful distribution or dissemination of sexual or intimate images or recordings of another person without that person's full knowledge and consent.*
        - **iv.** *Sexual voyeurism.*
        - **v.** *Inducing another to expose one's genitals or private areas.*
        - **vi.** *Prostituting another Student.*
        - **vii.** *Engaging in sexual activity while knowingly infected with an STD.*

- ***h.*** *Engaging in private or sexual acts in a publicly viewable location, such that it is offensive to accepted standards of decency. Including, but not limited to exposing one's genitals or private area(s), public urination, defecation, and/or public sex acts.*

2. *Hazing of any kind including but not limited to:*

- ***a.*** *Any intentional, knowing, or reckless act occurring on or off campus by one person alone or acting with others, that endangers the mental or physical health or safety of a currently enrolled or prospective Student for the purpose of new member intake, being initiated into, affiliating with, holding office in, or maintaining membership in that organization.*
- ***b.*** *Any type of physical brutality such as whipping, beating, striking, branding, electronic shocking, placing a harmful substance on the body, or similar activity.*
- ***c.*** *Any type of activity which involves sleep deprivation, exposure to the elements, confinement in a small space, calisthenics or other similar activity that subjects the Student to an unreasonable risk of harm or that adversely affects the mental or physical health or safety of the Student.*
- ***d.*** *Any activity which involves consumption of a food, liquid, alcoholic beverage, liquor, drug or other substance that subjects the Student to an unreasonable risk of harm or that adversely affects the mental of physical health of the Student.*
- ***e.*** *Any activity that induces, causes, or requires the Student to perform a duty or task which involves a violation of the Penal Code.*
- ***f.*** *Any activity that involves coercing the Student to consume drugs or alcoholic beverage or liquor in any amount that would lead a reasonable person to believe the Student is intoxicated.*
- ***g.*** *Soliciting, encouraging, aiding or directing another engaging in hazing.*
- ***h.*** *Intentionally, recklessly or knowingly permitting hazing to occur.*
- ***i.*** *Having first-hand knowledge that a specific hazing incident is being planned or has occurred and failing to report said knowledge in writing to the Dean of Students, SFA Police, SFA Fraternity and Sorority Life or the Office of Student Rights and Responsibilities.*
- ***j.*** *Any other violation of SFA Policy 10.3, Hazing.*

3. *Dishonesty of any kind, including but not limited to:*

- ***a.*** *Providing false or misleading information to the University.*
- ***b.*** *Providing false or misleading information to a University Official or Faculty.*
- ***c.*** *Forgery, alteration, or misuse of any documents, records, identification, access cards, or keys.*
- ***d.*** *Unauthorized possession, duplication or use of keys, access cards, or identification cards.*
- ***e.*** *Any action taken to deceive University Officials or Faculty regarding one's identity.*

4. *Harm to Property including but not limited to:*

- ***a.*** *Vandalism of or damaging University property or property of another others.*
- ***b.*** *Theft of any kind, including seizing, possessing, selling, or concealing property with knowledge that it has been stolen.*
- ***c.*** *Unauthorized entry into, presence in, or use of University facilities, equipment, or property.*
- ***d.*** *Any tampering, removal, and/or damage to fire and safety equipment on University property (e.g., residence halls, student center, campus recreation center and all*

academic buildings, etc.). Tampering includes pulling false fire alarms, discharging fire extinguishers, removing exit signs, and interfering with smoke detectors and sprinklers.

- ***e.*** *Using or possessing any University key or access card without proper authorization. No Student or Student Organization is allowed to have a University key duplicated without prior permission from faculty or staff with authority to provide that permission.*
- ***f.*** *Obstruction of the free flow traffic on University premises or at University-sponsored or supervised activities.*
- ***g.*** *Posting of commercial advertising on University property without approval from University Officials.*

5. *Disorderly Conduct including but not limited to:*

- ***a.*** *Disruption or Interference of Students, faculty, administration, staff, the educational mission, or routine operations of the University.*
- ***b.*** *Commercial solicitation on campus or with University resources without prior approval from University officials.*
- ***c.*** *Failure to comply with a reasonable and lawful request or directive of University Officials.*
- ***d.*** *Facilitation of Student misconduct including but not limited to assisting, conspiring, soliciting, or encouraging others to engage in conduct which violates the Student Code of Conduct.*
- ***e.*** *Conducting, organizing, or participating in any activity involving games of chance or gambling except as permitted by law and University policy.*
- ***f.*** *Driving in a manner that recklessly endangers the health and/or safety of oneself or others on campus. This may include but is not limited to the operation of a vehicle, bicycle, skateboard, scooter, and other mobile devices.*
- ***g.*** *Failure to present proper identification upon request by University Officials or Faculty, including law enforcement officers.*

6. *Misuse of Computing Resources including but not limited to:*

- ***a.*** *Failure to comply with University policies, license agreements, or contracts.*
- ***b.*** *Unauthorized alteration or destruction of computer equipment, software, network, data or system performance.*
- ***c.*** *Unauthorized copying or distribution of University data.*
- ***d.*** *Use of University resources for unauthorized commercial purposes or personal gain.*
- ***e.*** *Harmful access, or invasion of privacy.*
- ***f.*** *Use of computing facilities and resources to interfere with the work of another Student, faculty member, staff member or University Official.*

7. *Obstruction of the Student Conduct process which includes but is not limited to:*

- ***a.*** *Colluding with or intimidating witnesses.*
- ***b.*** *Providing false or incomplete information that may mislead an investigation/hearing or intentionally omitting relevant information from an investigation or hearing.*
- ***c.*** *Deliberately disrupting or interfering with the Student Conduct process.*
- ***d.*** *Tampering with information to be used in a Student Conduct process.*
- ***e.*** *Attempting to influence the impartiality of a Student Conduct Hearing Board member.*
- ***f.*** *Violating and/or failing to comply with Sanctions assigned through the Student Conduct process.*

- ***g.*** *Retaliation against any individual for filing a complaint or report of alleged violations of the Student Code of Conduct or otherwise participating in the student conduct process.*

8. *Prohibited possession or use of alcohol which includes but is not limited to:*

- ***a.*** *Possession or consumption of alcohol while under the age of 21.*
- ***b.*** *Purchasing, providing, or distributing alcohol to any individual who is under the age of 21.*
- ***c.*** *Possession and/or use of a common source (keg, beer bongs, etc.) on University property or at a University sanctioned or sponsored event.*
- ***d.*** *Possessing, furnishing, or consuming alcohol in unauthorized areas of the University.*
- ***e.*** *Operating a motor vehicle or another form of transportation while intoxicated or while under the influence of alcohol as defined by state law.*
- ***f.*** *Participation in or hosting of drinking games which involve the consumption of alcoholic beverages on University property or at a University sanctioned or sponsored event.*

9. *Prohibited possession or use of drugs which includes but is not limited to:*

- ***a.*** *Possession or use of any controlled substance, controlled substance analogues, and/or drug paraphernalia prohibited by SFA Policies or of any federal, state, or local law or ordinance.*
- ***b.*** *Abusing legally obtained drugs by failing to take the drug as directed.*
- ***c.*** *Misuse of non-controlled substances not intended for human consumption (i.e. spice, bath salts, rubbing alcohol) or not in compliance with manufacturer specifications.*
- ***d.*** *Sale or distribution of narcotics, prescription drugs, controlled substances, controlled substance analogues, or drug paraphernalia*

10. *Conduct which could constitute a violation SFA Policy or of any federal, state, or local law or ordinance including, but not limited to:*

- ***a.*** *The use or sale of all tobacco and vape products as defined and prohibited by SFA Policy 13.21, Smoking Vaping and Use of Tobacco Products.*
- ***b.*** *Violations of SFA Policy 13.9, Firearms, Explosives, and Ammunition policy.*
- ***c.*** *Violations of Residence Life Community Guidelines.*

~~Any student found to have committed or to have attempted to commit the following misconduct is subject to disciplinary sanctions:~~

~~1. **Dishonesty** - Acts of dishonesty, including but not limited to, the following:~~

- ~~a. Cheating or plagiarism as defined in university policy 4.1 (Student Academic Dishonesty), or other forms of academic dishonesty or breach of integrity such as but not limited to the distribution or selling of lecture notes, handouts, readers or other instructor-provided materials without permission.~~
- ~~b. Furnishing false information to any university official, faculty member, or office.~~
- ~~c. Forgery, alteration, or misuse of any university document, record, or instrument of identification.~~
- ~~d. Fraud as defined in university policy 2.7 (Fraud).~~

~~2. **Alcohol** - Alcohol use, possession, manufacturing, or distribution of alcoholic beverages (except as expressly authorized by university policies 13.7, Alcohol Service, and 13.11, Illicit Drugs and Alcohol Abuse), is prohibited on university premises and university-sponsored events. Students are expected to comply with all state and local laws, as well~~

~~as all Residence Life regulations regarding the presence of alcohol in the residence halls (see also, Residence Life Community Guidelines) including, but not limited to:~~

~~a. Possession or consumption of alcohol by anyone under the age of 21 is prohibited.~~
~~b. Providing alcohol or access to alcohol to anyone under the age of 21 is prohibited.~~
~~c. Being found in a state of public intoxication or drunkenness is prohibited.~~
~~d. Possession of common containers (e.g. kegs, trash cans, etc.) on campus is prohibited.~~
~~e. Operating a motor vehicle or another form of transportation while intoxicated or while under the influence of alcohol is prohibited.~~
~~f. Violating any provision of the Code of Student Conduct while under the influence of alcohol is prohibited.~~

~~3. **Illegal Drugs** - The act of using, possessing, being under the influence of, manufacturing, or distributing illegal drugs or illegally obtained/possessed controlled substances is prohibited.~~

~~a. Abusing legally obtained drugs by failing to take the drug as directed.~~
~~b. Except as expressly permitted by law, use, possession, manufacturing, or distribution or being a party thereto of marijuana, heroin, narcotics, or other controlled substances, drug paraphernalia or dangerous drug is also prohibited. (See also, policy 13.11, Illicit Drugs and Alcohol Abuse)~~

~~4. **Harassment** - Any conduct (physical, verbal, graphic, written, or electronic) that is sufficiently severe, pervasive, or persistent to create an objectively hostile environment that interferes with or diminishes the ability of an individual to participate in or benefit from the services, activities, or privileges provided by the university. This provision shall not be used to discipline students for speech protected by the First Amendment.~~

~~5. **Harm to Person** - Actions which cause or may cause injury, create conditions that cause injury, or which cause a reasonable apprehension of physical injury is prohibited.~~

~~6. **Disruptive Behavior** - Interference or disruption of students, faculty, administration, staff, the educational mission, or routine operations of the university is prohibited. Such activity includes, but is not limited to, behavior in a classroom or instructional program that interferes with the instructor or presenter's ability to conduct the class or program, or the ability of others to profit from the class or program. To remain in the vicinity of activity that is disrupting normal university functions when requested to leave by a university official is prohibited. Bystanders, if their presence incites or adds to the disruption, as well as more active participants in the disruptive activity, may be in violation of this policy as well. Engaging in physical violence of any nature against any person. This includes fighting; assaulting; battering; using a knife, gun, or other weapon; or acting in a manner that threatens or endangers the physical health or safety of any person or causes a reasonable apprehension of such harm.~~

~~7. **Animal Cruelty** - Prohibited conduct includes:~~

~~a. Intentionally, knowingly, or recklessly torturing, causing serious bodily injury to an animal, or killing an animal.~~
~~b. Failing to provide necessary food, water or care for an animal in the person's custody.~~
~~c. Abandoning an animal in the person's custody.~~
~~d. Transporting or confining an animal in a manner that may cause seriously bodily~~

injury to any animal without the owner's consent.

e. Causing one animal to fight with another animal or overworking an animal in a manner that may cause serious bodily injury is prohibited.

8. **Damage to Property** – Intentionally or recklessly causing damage to property or actions that may cause such damage is prohibited. Examples include removal of window restrictors or security screens; dropping, throwing, or causing objects or substances to fall from windows, doors, ledges, balconies, or roofs; and/or unauthorized application of graffiti to property.
9. **Damage to Fire Safety Equipment** – Any tampering, removal, and/or damage to fire and safety equipment on university property (e.g., residence halls, student center, campus recreation center and all academic buildings, etc.). Tampering includes pulling false fire alarms, discharging fire extinguishers, removing exit signs, and interfering with smoke detectors and sprinklers. (See also, Texas Penal Code Section 42.06)
10. **Complicity** – being present during the planning or commission of any violation of the Student Code of Conduct in such a way as to condone, support, or encourage that misconduct is prohibited.
11. **Guest Responsibility** – Students are accountable for violations their guests may commit while visiting them or the university community.
12. **Abuse of the Student Conduct Process** – Interfering in any manner with the student conduct process is prohibited. Examples of violating this policy include, but are not limited to:
    a. Colluding with or intimidating witnesses.
    b. Providing false or incomplete information that may mislead an investigation/hearing or intentionally omitting relevant information from an investigation or hearing.
    c. Retaliation against any individual for filing a complaint or alleging misconduct.
13. **Failure to Comply** – Students and student organizations are expected to comply with reasonable and lawful requests of university officials in the performance of their duties. University officials include, but are not limited to, faculty, staff, and university police officers. Students are expected to appear at conduct hearings to respond to allegations or testify as a witness upon reasonable notice. A failure to comply with or complete a sanction or obligation resulting from a conduct hearing or adjudication may constitute failure to comply.
14. **Misuse of Computing Resources** – Failure to comply with university regulations and policies, license agreements, and contracts governing network, software and hardware use; abuse of communal resources; use of computing resources for unauthorized commercial purposes or personal gain; failure to protect your password or use of your account; breach of computer security, harmful access, or invasion of privacy are prohibited. Misuse and/or other abuse of computer facilities and resources are also prohibited (See also, policy 9.3, Digital Millennium Copyright and policy 9.2, Reproduction of Copyrighted Works by Educators and Librarians).
15. **Misuse of Keys/Access Cards** – No person may use or possess any university key or access card without proper authorization. No student is allowed to have a university key duplicated without prior permission from faculty or staff with authority to provide that permission.
16. **Theft** – Theft of any kind, including seizing, receiving, or concealing property with

~~knowledge that it has been stolen, is prohibited. Sale, possession, or misappropriation of any property or services without the owner's permission is also prohibited.~~

17. ~~**Gambling** - Conducting, organizing, or participating in any activity involving games of chance or gambling except as permitted by law and university policy.~~
18. ~~**Unauthorized Entry or Use** - Unauthorized entry into, presence in, or use of university facilities equipment or property is prohibited.~~
19. ~~**Traffic Obstruction** - Obstruction of the free flow of pedestrian or vehicular traffic on university premises or at university-sponsored or supervised activities.~~
20. ~~**Reckless Operation** - Driving in a manner that recklessly endangers the health and/or safety of oneself or others on campus. Driving includes, but is not limited to, vehicles, bicycles, skateboards, scooters, and other mobile devises.~~
21. ~~**Weapons** - No illegal weapons are allowed on the premise or at university-sponsored events. (see also, policy 13.9 Firearms, Explosives and Ammunition)~~
22. ~~**Sex-Based Misconduct** - Due to the intersectionality of misconduct between potential violations of policy 10.4, Student Code of Conduct and the Sex- and Gender-Based Discrimination, Violence, Harassment, and Misconduct policy 2.13, all incidents that allege sex-based discrimination must first undergo assessment, and potential investigation, by the university's Title IX office. If the potential violation is determined not to rise to the level of a policy 2.13 violation, or when deemed appropriate, information may be sent to investigation or sanctioning under policy 10.4, Student Code of Conduct. Misconduct under policy 2.13 includes, but is not limited to: program inequity, domestic/dating violence, sexual assault, stalking, and sexual harassment.~~
23. ~~**Violation of University Policies** - Violation of any official university policy, rule, or regulation is prohibited. Such rules include, but are not limited to, Residence Life Community Guidelines, Athletics Student Athlete Handbook, Campus Recreation Center Policies and Procedures, Fraternity and Sorority Life policies and procedures, and university Parking Services Regulations.~~
24. ~~**Violation of Law** - Violation(s) of any federal, state, or local law including, but not limited to:~~
    - ~~a. Arson~~
    - ~~b. Robbery~~
    - ~~c. Burglary, and~~
    - ~~d. Trespassing~~

~~B. Violation of Law and University Discipline~~

~~University disciplinary proceedings may be instituted against a student charged with conduct that potentially violates both the criminal law and Student Code of Conduct (that is, if both possible violations result from the same factual situation) without regard to the pendency of civil or criminal litigation in court or criminal arrest and prosecution. Proceedings under this Student Code of Conduct may be carried out prior to, simultaneously with, or following civil or criminal proceedings off campus at the discretion of the vice president for student affairs or designee.~~

~~Findings and sanctions imposed under the Student Code of Conduct shall not be subject to change because criminal charges arising out of the same facts giving rise to violation of university rules were dismissed, reduced, or resolved in favor of or against the criminal law defendant.~~

Article IV: The Student Conduct Process
~~ARTICLE III: PROCEDURES~~

~~**Introduction**~~
The following rules of procedure in student disciplinary matters are adopted to ensure that the *U*~~u~~niversity will fulfill the requirements of procedural *D*~~d~~ue *P*~~p~~rocess in student ~~disciplinary~~ *conduct* proceedings, outlined in the Student Code of Conduct. ~~. (10.4) and Residence Life Community Guidelines, both of which are updated annually. Disciplinary procedures within the university shall be definite and determinable as outlined in the Student Code of Conduct (10.4) and the Residence Life Community Guidelines.~~

These rules of procedure shall be followed in any disciplinary proceeding, subject to the authority of the Board of Regents and the authority delegated to the ~~p~~*P*resident of the ~~u~~*U*niversity to exercise jurisdiction over disciplinary matters of the *U*~~u~~niversity. Cases involving sex-based misconduct, including, but not limited to, sexual violence, domestic/dating violence, and/or stalking may be investigated according to ~~university~~ *SFA P*~~p~~olicy 2.13 (~~Sex and Gender Based Discrimination, Violence, Harassment, and Misconduct~~*Title IX)*.

The burden of proof in the Student Conduct process is by a preponderance of the evidence, defined as evidence which leads a reasonable person to conclude something is more likely than not.

1. ***Determination of Charges***
    - ***a.*** *Alleged violations of the Student Code of Conduct may be reported to the Dean of Students Office by anyone, including but not limited to, University Police or other University departments, faculty, staff, Students, or third parties. Reports may be sent anonymously; however, this may significantly limit the University's ability to investigate, collect evidence, or take effective action.*
    - ***b.*** *The Dean of Students Office will review available information to determine if a Student or Student Organization will be charged with a violation of the Student Code of Conduct. The Dean of Students may gather additional information if deemed necessary to assist in their determination.*
    - ***c.*** *The Dean of Students may choose to withdraw charges if, at any point in the Student Conduct Process, they are no longer deemed warranted.*
2. ***Educational Conference***
    - ***a.*** *Once a Student or Student Organization has been charged with an alleged violation of the Student Code of Conduct, the first step in the process is an Educational Conference. The Educational Conference is not a hearing. The purpose of the Educational Conference is for a Conduct Officer to review with the Charged Student or Student Organization, and any Victim, the allegations and charges, their rights, the Student conduct process, possible sanctions, and to answer questions. During the Educational Conference the Charged Student or Student Organization will be given the opportunity to accept responsibility for the charges and any assigned sanctions, if applicable.*
        - ***i.*** *If the Charged Student or Student Organization accepts responsibility for the charge(s) and any assigned sanctions, then the Charged Student or Student*

Organization will be asked to sign the Educational Conference form indicating that individual's acceptance and their waiving of their right to a hearing and appeal. The Charged Student or Student Organization and any victim will then receive an email documenting their acceptance of responsibility and assigned sanctions within five (5) business days from the Dean of Students Office.

ii. *If the Charged Student or Student Organization does not accept responsibility for the charge(s) or does not agree with the assigned sanctions, then the Charged Student or Student Organization will be asked to sign the Educational Conference form indicating that decision and the case will be referred to a Student Conduct Hearing*

iii. *If the Charged Student or Student Organization fails to attend an Educational Conference or complete the Educational Conference Form, the case will be referred to a Student Conduct Hearing*

3. Student Conduct Hearing

Charged Students or Student Organizations who choose to not accept the outcome of the Educational Conference or do not participate in the Educational Conference, will be referred to a Student Conduct Hearing.

a. Hearing Notification*: The Dean of Students Office shall provide notice of the hearing to the Charged Student or Student Organization's SFA email. The notice will set forth the date, time, and place of the hearing; the charges assigned; and the rights of the Student or Student Organization. The Charged Student or Student Organization will be informed that an Advisor may be present during the hearing. The Student or Student Organization must notify the Dean of Students Office if an attorney will serve as an Advisor to allow a representative from the University's General Counsel's Office to attend. The notice shall be given at least five (5) business days prior to the Student Conduct Hearing. Failure to do so may result in the hearing being rescheduled. Any request to reschedule shall be made in writing to the Dean of Students Office, who has the authority to reschedule the hearing for good cause. Failure to attend the Student Conduct Hearing will lead to the case being heard in the Charged Student or Student Organization's absence. A Charged Student or Student Organization's lack of attendance shall not be used against the Charged Student or Student Organization in any determination of responsibility and/or sanctions.*

b. Victim Hearing Notification*: In cases with a Victim, The Dean of Students Office shall provide notice of the hearing through email. The notice will set forth the date, time, and place of the hearing and the charges assigned. The notice shall be given at least five (5) business days prior to the Student Conduct Hearing. This notification will also advise the victim of his or her rights in the Student conduct process, including but not limited to, the right to submit a list of questions, the right to submit a victim impact statement, the right to request a copy of his or her record, the right to an Advisor, and the right to provide information in a separate room from the Charged Student or Student Organization.*

c. Student Conduct Hearing Board: *The Dean of Students Office will choose at least 3 individuals, with at least 1 Faculty/Staff and 1 Student, who are available to serve on the Student Conduct Hearing Board. These Student Conduct Hearing Board members are comprised of those appointed to serve on the Student Conduct Hearing Board. Student Conduct Hearing Board Members are appointed to the Student Conduct*

Hearing Board by the Vice President of Student Affairs. All appointments are for one (1) academic year. Faculty, Staff, and Students may serve an unlimited number of terms.

d. Pre-Hearing Information: *The Dean of Students Office will make available~~, upon request by the Charged Student or Student Organization,~~ pre-hearing information including copies of records that will be presented by the University at the hearing, and a list of potential University witnesses, and a summary of the information the witness(es) may provide. The pre-hearing information will be available at least three business days in advance of the hearing. The Charged Student or Student Organization must provide the Dean of Students Office with a list of potential witnesses and copies of any records that they will present at the hearing at least two (2) business day in advance of the hearing. Evidence and/or witnesses that are not provided at least two (2) business day before the hearing will only be included in the hearing at the discretion of the Student Conduct Hearing Board Chair.*

e. Advisors: *An Advisor may accompany a Charged Student or Student Organization or a Victim in a Student Conduct Hearing. An Advisor may not directly participate in the Student Conduct Hearing in any capacity other than providing advice and support to the Charged Student or Student Organization or Victim they are accompanying. A Charged Student or Student Organization and a Victim may select anyone to serve as their Advisor as long as this individual is not a witness to or involved in the case. A Charged Student or Organization and a Victim may only have one Advisor present during a Student Conduct Hearing. If the chosen Advisor is an attorney, the Charged Student or Student Organization or Victim must inform the Dean of Students Office at least two (2) business days in advance of the Student Conduct Hearing to allow for a representative of the University General Counsel's Office to attend. Failure to do so may result in the hearing being rescheduled. For the purposes of this policy, an Advisor who is involved in any other part of the Student Conduct Process shall be held to these standards.*

f. Role of Hearing Board Chair: *A Faculty or Staff Student Conduct Hearing Board member, in attendance at the Student Conduct Hearing, will serve as the Hearing Board Chair. The Hearing Board Chair manages the Student Conduct Hearing Board and is responsible for the decorum of the hearing, and to ensure that all procedures are properly followed. Each person in attendance is expected to exhibit proper dignity, courtesy, and respect. The chair may dismiss any person from the hearing who interferes, obstructs, or fails to abide by the rulings of the chair. Procedural questions which arise during the hearing not covered by these general rules shall be determined by the chair, whose ruling shall be final unless the chair presents the question to the committee, in which by majority vote shall be final. In case of a tie and a majority is unable to be reached, the vote of the Hearing Board Chair is the deciding vote. The chair may also seek guidance from the Dean of Students Office as needed.*

g. Order of Proceedings During the Student Conduct Hearing*: The Hearing Board Chair will facilitate the Student Conduct Hearing, determine the presence or absence of the Charged Student or Student Organization and/or Victim, verify the alleged misconduct, determine the presence of an Advisor, and explain any additional procedures to be employed during the hearing. The hearing will be recorded in either audio or video format.*

The Charged Student or Student Organization will be given the opportunity to provide an opening statement. This is the opportunity for the Charged Student or Student Organization to state their case and present their evidence. After the Charged Student or Student Organization provides their opening statement, the Student Conduct Hearing Board and any Victim will be given the opportunity to question the Charged Student or Student Organization.

The Dean of Students' and the Charged Student or Student Organization's witnesses, if any, will then be called to provide a statement, present any evidence they may possess, and answer questions posed by the Student Conduct Hearing Board and the Charged Student or Student Organization, and any Victims if applicable. The Dean of Students Office is unable to compel individuals to serve as a Witness. The Charged Student or Student Organization will be responsible for notifying their Witness(es) of the time, date, and location of the Student Conduct Hearing. Witnesses may participate in person, by telephone, or virtually if needed. Only one Witness will be allowed to participate in the Student Conduct Hearing at a time. The Hearing Board Chair may limit the number or disallow completely, character witnesses that have no direct knowledge of the alleged misconduct.

All questions asked by the Charged Student or Student Organizations, Victim, and any Witnesses must be directed to the Chair to determine if they are relevant and appropriate for the case.

After all Witnesses and evidence has been presented, the Charged Student or Student Organization may make a closing statement.

The Student Conduct Hearing Board will then convene in closed session to determine if the Charged Student or Student Organization is responsible or not responsible for the alleged violations of the Student Code of Conduct. If a finding of responsible is made for any of the alleged violations, The Student Conduct Hearing board will determine recommended sanctions. Determination and recommendation of Sanctions are outlined in the Sanctions section of this document (Article V).

The outcome of the Student Conduct Hearing will be sent to the Charged Student or Student Organization, and any victim, through email within five (5) business days following the close of the hearing. This time may be extended for deliberations when necessary and the Charged Student or Student Organization shall be notified of any such extensions. The outcome letter shall contain a decision on each charge, any findings of fact and any applicable sanctions. The Charged Student or Student Organization may appeal a finding of responsible within five (5) business days as outlined in the appeal section of these procedures.

Hearings are closed to the public and all information presented in the hearing is confidential and restricted to only those who have an absolute need to know. In cases involving multiple Charged Students or Student Organizations from the same incident, information obtained at one hearing may be used at another hearing.

~~A. Filing the Complaint~~

~~Any member of the university community may file a complaint against a student alleging a violation of the Student Code of Conduct. Complaints may be submitted to the Office of Student Rights and Responsibilities. Anonymous complaints may be made, however, electing to remain anonymous may significantly limit the university's ability to investigate, collect evidence, or take effective action.~~

~~B. Filing a False or Frivolous Complaint~~

~~Knowingly filing a false or frivolous complaint to intentionally mislead a university official is expressly forbidden. A frivolous complaint is one that is made in retribution for another student filing a complaint and can be demonstrated as lacking merit. Violators may face charges up to suspension or expulsion. The university is the sole party who may file charges of a false or frivolous complaint.~~

~~C. Notice of Allegations~~

~~Upon receiving a report of an alleged violation of the Student Code of Conduct, the student conduct administrator will review the report and, if needed, conduct an initial investigation. If there is sufficient evidence to indicate that a violation may have occurred, a notice of allegations will be sent to the respondent through a university recognized medium, including the alleged incident date(s) and instructions to attend an Educational Conference with a student conduct administrator. If at any time during the course of the conduct process the dean of students determines that either charges are not warranted or that insufficient evidence exists to continue, then the charges may be withdrawn, and the respondent will be so notified via email.~~

~~When an incident has or can be reasonably determined to disrupt the university environment, or occurs at the beginning or end of a semester, the student may be contacted to begin the process immediately. In addition to notices by email, attempts may be made to contact the student by phone or in-person contact by a university employee. This expedited contact is intended to preserve the university living/learning environment and can offer a student found responsible of an infraction options that may be time-limited or time-based, such as withdrawing prior to financial penalties or beginning a suspension period in a timely manner. Failure by a student to have current contact information on file will not invalidate the notices.~~

~~D. Immediate Response~~

~~The university reserves the right to take action as may be reasonably appropriate, upon receipt of a complaint, to protect the complainant or university community pending the final outcome of these procedures. Some actions may include, but not limited to, housing reassignments, class schedule changes, restrictions from entering certain buildings and/or participation in certain events. These actions will be handled on a case-by-case basis.~~

~~E. Burden of Proof~~

~~The burden of proof is by a preponderance of the evidence, defined as evidence which leads a reasonable person to conclude something is more probable than not. The rules of evidence do not apply in any hearing nor are the proceedings to be conducted as judicial trials, however, care shall be taken to comply with the intent of the procedural safeguards provided by these guidelines.~~

~~F. Educational Conference~~

~~Once a respondent has been charged with an alleged violation of the Student Code of Conduct, the first step in the process is an Educational Conference. The Educational Conference is not a hearing. The purpose of the Educational Conference is for a student conduct administrator to review with the respondent the allegations and charges, the Student Code of Conduct, the hearing options, the conduct process, possible sanctions, and to answer questions. During the Educational Conference the respondent will be given the opportunity to accept responsibility or not accept responsibility for the charges.~~

~~If the respondent accepts responsibility for the charge(s), then the respondent will be asked to sign the Educational Conference Form indicating that individual's acceptance of responsibility and that the individual is waiving that individual's right to a hearing. They will then receive an email documenting the respondent's acceptance of responsibility and assigned sanctions within ten (10) business days from the Office of Student Rights and Responsibilities.~~

~~If the respondent does not accept responsibility for the charge(s), then the respondent will be asked to sign an Educational Conference Form indicating that the respondent does not accept responsibility for the charge(s) and would like the case to be referred to a Student Conduct Hearing. The Office of Student Rights and Responsibilities will schedule the hearing providing the respondent with a minimum of five (5) business days' notice.~~

~~If the respondent fails to attend an Educational Conference or complete the Educational Conference Form, the case will be referred to a Student Conduct Hearing~~

~~G.Student Conduct Hearing Board~~

~~A Student Conduct Hearing Board composed of at least two faculty/staff and one student who will serve upon request to adjudicate alleged violations, and to recommend sanctions if applicable. The faculty/staff members will be selected from a pool of appointees from the vice president for student affairs or designee. The student will be a representative of the general student population with input from the student government association president.~~

~~H. Notice of Hearing~~

~~The student conduct administrator will provide notice of the hearing transmitted through a university-recognized medium. The notice will set forth the date, time, and place of the hearing. The respondent will be informed that an advisor may be present during the hearing. The student must notify the student conduct administrator if an attorney will serve as an advisor to allow the university's attorney to also be present. Failure by the respondent to access notifications transmitted through a university-recognized medium shall not invalidate the notice. The notice shall be given at least five (5) business days prior to the hearing, unless a shorter or longer time is granted for good cause. Any request for continuance shall be made in writing to the student conduct administrator, who has the authority to reschedule the hearing if it is determined the request is timely and for good cause.~~

~~Failure to appear will lead to the case being heard in absentia (without the student being present)~~

~~I. Role of Chair During Formal Hearing~~

~~The chair manages the hearing board during the student conduct hearing.. Each person in attendance is expected to exhibit proper dignity, courtesy, and respect. The chair may dismiss any person from the hearing who interferes, obstructs, or fails to abide by the rulings of the chair. Procedural questions which arise during the hearing not covered by these general rules shall be determined by the chair, whose ruling shall be final unless the chair presents the question to the committee, in which by majority vote shall be final. The chair may also seek guidance from general counsel prior to or during the hearing on procedural issues.~~

~~J. Order of Proceedings During Formal Hearing~~

~~The hearing board chair will preside at the hearing, determine the presence or absence of the respondent, verify the alleged misconduct, determine the presence of an advisor, and explain any additional procedures to be employed during the hearing. The hearing will be recorded in either voice or video format. The student conduct administrator will begin the process by presenting a general overview of the case, the types of evidence to be used, and the findings of any investigation prior to the hearing. However, the student conduct administrator is not a part of the hearing board and serves to provide the board and the respondent with assistance in obtaining the information necessary until the hearing has been concluded.~~

~~The respondent may choose to make opening remarks after the student conduct administrator gives the overview or wait until the conduct in question is presented. The respondent's advisor may advise the respondent, but may not participate in the hearing, for example by questioning witnesses or addressing the board. The hearing board and the respondent may call and cross-examine witnesses and present evidence. The respondent may, but is not required to, testify. Any person testifying, including the respondent, shall be subject to cross-examination.~~

~~The respondent will be afforded an opportunity to obtain necessary witnesses and/or provide additional evidence. The student conduct administrator cannot compel other students to appear at a hearing but may assist students being called as witnesses with class absence notifications when necessary. The student conduct administrator will make available any necessary documents and evidence within the university's control, to the extent allowed by law. Depending on the nature of the evidence, it may be made available to the respondent but not released.~~

~~The hearing is meant to be an exchange of information and a presentation of facts by witnesses having direct knowledge of the alleged infraction. The hearing board chair may limit the number or disallow completely, character witnesses that have no knowledge of the alleged incident. Witnesses are called beginning with who the board request. Following, the respondent may call witnesses or present additional evidence relevant to the conduct in question.~~

~~After all witnesses and evidence has been presented, the respondent may make a closing statement.~~

~~The Student Conduct Hearing Board will then convene in closed session to determine if the respondent is responsible or not responsible for the alleged violations of the Student Code of~~

~~Conduct. If a finding of responsible is made for any of the alleged violations, the Student Conduct Hearing board will determine recommended sanctions. Determination and recommendation of sanctions are outlined in Section O. Sanctions.~~

~~The outcome of the Student Conduct Hearing will be sent to the respondent through a university-recognized medium within ten (10) business days following the close of the hearing. This time may be extended for deliberations when necessary and the student shall be notified of any such extensions. The decision letter shall contain a decision on each charge, any findings of fact and any applicablesanctions. The respondent may appeal a finding of responsible within five (5) business days as outlined in Section L. Appeal Procedures.~~

~~Hearings are closed to the public and all information presented in the hearing is confidential and restricted to only those who have an absolute need to know~~

Article V: Sanctions

Charged Student or Student Organizations who accept responsibility or are found responsible for violations of the Student Code of Conduct, will be assigned sanctions based on the violation, any aggravating or mitigating circumstances, and prior violations of the Student Code of Conduct. The Conduct Officer/Student Conduct Hearing Board will recommend sanctions to the Dean of Students or designee, who will make a final determination of sanctions. Recommended sanctions may be adopted, modified, or rejected. When recommended sanctions are not adopted by the Dean of Students or designee, the Dean of Students or designee shall provide the Charged Student or Student Organization with the reasons for not adopting the recommendations in writing. One or more of the following sanctions may be assigned for violations of the Student Code of Conduct:

1. ***Disciplinary Reprimand****: a written disciplinary sanction notifying a Student or Student Organization that the behavior did not meet University standards. All disciplinary reprimands will be taken into consideration if further violations occur.*
2. ***Disciplinary Probation****: a written disciplinary sanction notifying a Student or Student Organization that the behavior is in serious violation of University standards. Any additional violations occurring during a probationary period may result in more severe sanctions. In addition, restrictions may be placed on a Student or Student Organization's activities.*
3. ***Educational Requirements****: a Student or Student Organization is required to complete a specified educational sanction related to the violation committed. Such educational requirements may include, but are not limited to, completion of a seminar, written assignment, alcohol or drug assessment, and/or presentation. Fines may be associated with Educational Requirements due to the cost of the assigned assessment/program.*
4. ***Special Action:*** *A sanction designed to enhance the educational intent of the disciplinary process. Examples of sanctions include, but are not limited to restitution, community service, counseling suggestions, and restrictions or removal from academic courses, University housing, or extracurricular activities.*
5. ***Suspension:***
    - ***a.*** *A Student who is suspended is required to leave the University for a specified period of time. The Student must comply with all sanctions and complete all requirements prior to re-admission. During the suspension period the Student may not visit or come onto any SFA campus or attend any SFA sanctioned or sponsored event without specific*

written permission of the Vice President of Student Affairs and the SFA Chief of Police. While serving a suspension a Student is not in good standing.

b. *A Student Organization that is suspended is required to cease all activity during the specified time period. During this time, they are not recognized by the University as outlined in SFA Policy 10.9, Student Organization Formation and Recognition. Special Actions may also be attached to the suspension to enhance the educational intent of the disciplinary process. Suspended Student Organizations must submit a new application as an organization at the end of the suspension period.*

c. *In certain situations, the Suspension may be placed in a deferred status.*

6. ***Expulsion:*** *A Student who is expelled is permanently barred from attending the University and is ineligible for readmission to the University. The Student may not visit or come onto any SFA campus or attend any SFA sanctioned or sponsored event without specific written permission of the Vice President of Student Affairs and the SFA Chief of Police.*

~~**K. Appeal Procedures**~~

~~Students have one level of appeal for every student conduct case. The final appellate authority shall be the vice president for student affairs or designee. There shall be two grounds for appeal, the finding of responsibility or the sanction received.~~

~~*Appeal of the Findings of Responsibility*~~

~~The respondent may appeal the finding of responsibility to the dean of students or designee. The student must submit a signed and dated written appeal to the Office of the Dean of Students no later than 5 p.m. the day of the deadline. The written appeal must contain: the respondent's university identification number, date of the disciplinary action being appealed, the nature of the charges, the grounds which merit an appeal, and any extenuating circumstances the respondent wishes to have considered.~~

~~*Appeal of the Sanction*~~

~~The respondent may accept the finding of responsibility but appeal the sanction to the vice president for student affairs or designee. The signed and dated written appeal must be submitted to the Office of the Dean of Students no later than 5 p.m. the day of the deadline. The written appeal must contain: the respondent's university identification number, date of the disciplinary action being appealed, the nature of the charges, the grounds which merit an appeal, and any extenuating circumstances the respondent wishes to have considered.~~

Article VI: Appeals

Charged Students or Student Organizations who are found responsible by a Student Conduct Hearing Board have the right to appeal based on certain criteria. Appeals must meet one or more of the following grounds:

1. *The information contained within the case does not support the finding of responsible.*
2. *The assigned sanctions are not appropriate for the violation(s).*
3. *The Student or Student Organization's rights, as outlined by this policy, were violated.*

The Charged Student or Student Organization must submit an appeal to the Vice President of Student Affairs within five (5) business days of the outcome letter being sent from the Dean of Students. This

appeal must describe why they feel their case meets one of the appeal criteria listed.

The Vice President of Student Affairs or Designee may uphold the decision and/or sanctions, modify the decision and/or sanctions, or remand the case for a new hearing. Unless the appeal decision is to remand the case, the appeal decision is considered the final decision of the University. The Charged Student or Student Organization will receive the outcome of the appeal through email.

~~**L. Confidentiality and Records**~~

~~All hearings and records (written, electronic, audio or video recording, etc.) pertaining to hearings will be considered education records and treated as designated by law. Student conduct records are kept for two years beyond a student's final enrollment at the university. Records for cases when a student has been expelled are held permanently.~~

~~Disciplinary actions which result in extended separation from the university and prevent enrollment will be noted on the academic transcript. Information will include the specific sanction (suspension, expulsion, or debarment) along with the effective dates of the sanction. A student must request in writing that the notation be removed upon completion of the sanction. Written requests must include the student's name and identification number, and must be submitted to the Office of Student Rights and Responsibilities. The Office of Student Rights and Responsibilities will verify a student's eligibility for the transcript notation to be removed and will notify the Registrar's Office for removal.~~

~~There will be no disclosure of file contents outside of the university without the written permission of the student, unless required or allowed by law. Disclosure within the university is limited to those employees having legitimate need of the information to conduct university business. A student may make a written request for a personal copy of their incident report and receive a redacted copy. Disclosure to victims of violent crimes, nonforcible sex offenses or other offenses with reporting requirements will be handled according to law. All hearings are closed to the public.~~

Article VII: Interim Measures

The Dean of Students may assign Interim Measures to a Student or Student Organization if it is determined that the continued presence or actions of a Student or Student Organization poses a substantial threat of harm or bodily injury, damage to property, or threat to the stability and continuance of normal University functions. The Interim Measure will take effect immediately without prior notice to the Student or Student Organization. Interim Measures may include, but are not limited to, interim suspension, restrictions, removal from on-campus housing, or no contact directives. Interim Measures may be lifted by the Dean of Students when deemed appropriate.

In cases of interim suspension, restrictions, or removal from on-campus housing, unless waived in writing by the Student or Student Organization, the Student or Student Organization will have a post-removal hearing with the Dean of Students or designee regarding the Interim Measure. The scope of this hearing is limited solely to the determination of whether that Student or Student Organization's presence or continuation of activities adversely affects the health, safety or welfare of the University community. The Student or Student Organization will be provided with an explanation of the evidence on which the University based its decision concerning the Interim Measure and an opportunity to

respond.

~~**M.Rights of Students in Disciplinary Proceedings**~~

~~The rights outlined below will be accorded to any student for an alleged violation of the student code of conduct. Both the respondent and complainant shall have the same rights unless additional rights are provided to either party according to law.~~

~~a. to be present at the hearing;~~
~~b. to meet with the student conduct administrator to discuss the disciplinary process;~~
~~c. to submit a written account of the alleged incident;~~
~~d. to be advised of the date, time and location of the disciplinary hearing, and to request rescheduling (a continuance) for good cause;~~
~~e. to be present at the hearing and to be accompanied by an advisor of the student's choosing during the hearing process, although the advisor will not be permitted to speak for the student during the hearing;~~
~~f. to testify at the hearing;~~
~~g. to decline to testify, with knowledge that all relevant evidence will be considered and the alleged violation adjudicated;~~
~~h. to hear or examine evidence presented against the respondent;~~
~~i. to have and cross-examine witnesses, as specified in this policy;~~
~~j. to make any statement in mitigation or explanation of the conduct in question;~~
~~k. to be informed in writing of the finding and any sanction imposed to the extent allowed by law;~~
~~l. to appeal the finding and/or sanction to the proper authority;~~
~~m. to waive rights to a hearing as outlined in these procedures.~~

Article VIII: Records

All hearings, and records pertaining to hearings, will be considered education records and treated as designated by law. Student or Student Organization conduct records are kept for seven years after the final outcome of the Student Conduct Process. Records for cases where a Student or Student Organization has been expelled or suspended are held permanently.

Disciplinary actions which result in suspension or expulsion from the University and prevent enrollment will be noted on the academic transcript. Information will include the specific sanction (suspension or expulsion) along with the effective dates of the sanction.

There will be no disclosure of file contents outside of the University without the written permission of the Student, unless required or allowed by law. Disclosure within the University is limited to those employees having legitimate need of the information to conduct University business. A Student or Student Organization may make a written request for a personal copy of their incident report and receive a redacted copy. Disclosure to victims of violent crimes, nonforcible sex offenses or other offenses with reporting requirements will be handled according to law. All hearings are closed to the public.

~~**N. Sanctions**~~

~~The student conduct administrator/student conduct hearing board will recommend sanctions to the dean of students, who will make a final determination of sanctions. Recommended sanctions may be adopted, modified, or rejected. Where the student conduct hearing board's or conduct administrator's recommended sanctions are not adopted by the dean of students, the dean of students shall provide the respondent with the reasons for not adopting the recommendations in writing.~~

~~**Disciplinary Reprimand**: a written disciplinary sanction notifying a student that the behavior did not meet University standards. All disciplinary reprimands will be taken into consideration if further violations occur.~~

~~**Disciplinary Probation**: a written disciplinary sanction notifying a student that their behavior is in serious violation of university standards. Any additional violations occurring during a probationary period may result in more serious sanctions. In addition, restrictions may be placed on a student's activities. Restrictions that may be imposed during a probationary period may include, but are not limited to, restriction of the privilege to: (a) participate in student activities or in student organizations; (b) represent the university on athletic teams, or in other leadership positions; (c) have access to university housing facilities or other areas on campus; (d) have use of university resources and/or equipment; and/or (e) have contact with specified person(s). When on disciplinary probation a student is not in good standing~~

~~**Educational Requirements**: a student is required to complete a specified educational sanction related to the violation committed. Such educational requirements may include, but are not limited to, completion of a seminar, report, alcohol or drug assessment, presentations, and/or counseling~~

~~**Special Action**: is a sanction designed to enhance the educational intent of the disciplinary process. Examples of sanctions include, but are not limited to, the requirement of a special program (the cost of this program will be paid by the student), restitution, community service, counseling referrals, and restrictions or removal from academic courses, university housing, or extracurricular activities.~~

~~**Suspension of an Individual**: is a bar from attending the university for a specific period of time and begins at the date and time specified by the dean of students. A suspension also carries with it the following conditions:~~

~~a. Student must remain off the campus during the period of suspension, except when summoned by a university official or when an appointment with an official has been arranged in advance.~~
~~b. Student may not live or board in university facilities.~~

~~**Suspension of a Student Organization:** is a bar from university recognition for a specified period of time as outlined in university policy 10.9 (Student Organization Formation and Recognition).~~
~~Student organizations are required to cease all activity during the specified period. Special Actions may also be attached to the suspension to enhance the educational intent of the~~

~~disciplinary process. Suspended student organizations must submit a new application as an organization at the end of the suspension period.~~

~~**Expulsion**: is a permanent bar from attending the university whereby a student is not eligible for readmission to the university and begins at the date and time specified by the dean of students. An expelled student's status will carry the following conditions:~~

~~a. Student must remain off campus, except when summoned by a university official or when an appointment with an official has been arranged in advance.~~
~~b. Student may not live or board in university facilities.~~

~~**Debarment**: is equivalent to suspension from the university applied to persons not currently registered at the time the sanction is imposed.~~

~~**Interim Suspension**: The dean of students may suspend a student for an interim period pending disciplinary proceedings when there is evidence that the continued presence of a student on the university campus poses a substantial threat of harm or bodily injury, damage to property, or threat to the stability and continuance of normal university functions. The interim suspension may take effect immediately without prior notice to the student. However, the dean of students shall provide notice to the student at a feasible time.~~

~~The dean of students shall inform the student of their right to a hearing to be held within five (5) business days from the effective date of the interim suspension. If the student desires, a preliminary hearing shall be held on the following issues only:~~

~~a. the reliability of the information concerning the student's conduct, including the matter of his/her identity;~~
~~b. whether the conduct and surrounding circumstances reasonably indicate that the continued presence of the student on the university campus poses a substantial threat of harm or bodily injury, damage to property, or threat to the stability and continuance of normal university functions.~~

~~If the dean of students finds that the alleged violation is unreliable or that the respondent has been misidentified, the case may be dismissed. If the student dean of students finds that allowing the respondent to remain on campus poses no threat or disruption, the student may be allowed to remain on campus pending the completion of the hearing.~~

~~**O. Status during Appeal**~~
~~In cases of suspension or expulsion when an appeal is filed, a student may request the Office of the Dean of Students in writing for permission to continue to reside on campus and/or attend classes pending the ruling of the appeal. The dean of students may permit this request, given that such continuance will not seriously disrupt the university or constitute a danger to the health, safety or welfare of the university community.~~
~~**P. Hold of Student's Records**~~
~~The university may place a hold on the records or registration of any student who fails to respond to a university conduct notice, resolve a student conduct issue, or fulfill any sanctions issued by~~

~~the dean of students.~~

Article IX: Non-discrimination, Interpretation, and Revision
~~**ARTICLE IV: NON-DISCRIMINATION, INTERPRETATION AND REVISION**~~

Decisions rendered according to this policy will be made based on observations of a *S*~~s~~tudent's conduct, actions and statements and not on the basis of a student's race, color, religion, national origin, sex, age, disability, genetic information, citizenship, veteran status, sexual orientation, gender identity, or gender expression.

Any Student with a disability may request reasonable accommodations during the disciplinary process. If accommodations are desired, this request must be made to SFA Disability Services at least three business days in advance of the hearing. If necessary the Hearing Board Chair, or the Dean of Students or designee, may postpone the hearing to provide reasonable accommodations.

Any question of interpretation or application of the Student Code of Conduct shall be referred to the *V*~~v~~ice ~~p~~*P*resident ~~for~~ *of S*~~s~~tudent *A*~~a~~ffairs or designee for final determination.

The Student Code of Conduct shall be reviewed annually under the direction of the *V*~~v~~ice *P*~~p~~resident *of*~~or~~ *S*~~s~~tudent *A*~~a~~ffairs or designee.

Cross Reference: Tex. Educ. Code §§ 51.9315, *.936,* .9364; Fraud (2.7); ~~Discrimination Complaints~~*Nondiscrimination* (2.11); ~~Sex and Gender-Based Discrimination, Violence, Harassment, and Misconduct~~*Title IX* (2.13); Student Academic Dishonesty (4.1); Reproduction of Copyrighted Works by Educators and Librarians (9.2); Digital Millennium Copyright (9.3); Hazing (10.3); Student Organization Formation and Recognition (10.9); ~~Students Displaying Serious Psychological Problems~~*Student Involuntary Withdrawal* (10.13); Annual Disclosure of Crime Statistics (13.3); Illicit Drugs and Alcohol Abuse (13.11); Firearms Explosives and Ammunition (13.9); Acceptable Use of Information *Technology* Resources (14.2); Residence Life Community Guidelines

Responsible for Implementation: Vice President ~~for~~ *of* Student Affairs

Contact for Revision: *Assistant Vice President of Student Affairs and* Dean of Students

Forms: None

Board Committee Assignment: Academic and Student Affairs

Appendix 1

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Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Students Displaying Serious Psychological Problems

Policy Number: 10.13

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

Date of last revision, if applicable: 7/23/2019

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

Purpose of Policy (what does it do): Creates standard for involuntarily withdrawing a student that may pose a threat to the university community.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:
Policy name changed due to not all behaviors that may pose a risk to the community are a result of psychological problems.

Universities cannot take action on a student that is suicidal due to the changes in the direct threat standard. Suicidality is now covered under the Americans with Disabilities Act.

Removed references to Emergency or Non-Emergency situations because this policy would only be enacted in extreme cases. "Non-Emergency" situations would not be subject to this policy and thus should not be mentioned.

Created Interim Measures within the policy to allow the University to be responsive in extreme situations to protect the university community.

Outlined the specific rights of the student and also notice requirements. This is to ensure appropriate due process.

Outlined the following actions: recommendation parameters from the Behavioral Intervention

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Team; decision parameters for the Vice President of Student Affairs; decision parameters for the Executive Vice President and Provost. This is to ensure the consistent and equitable application of this policy and treatment of students as part of this policy.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Behavioral Intervention Team
Brandon Frye, Vice President of Student Affairs
Damon Derrick, General Counsel

~~Students Displaying Serious Psychological Problems~~*Student Involuntary Withdrawal*

Original Implementation: October 12, 1982
Last Revision: ~~July 23, 2019~~*November 1, 2021*

Stephen F. Austin State University (*SFA or the U*~~u~~niversity) is committed to maintaining a learning and working environment that is safe for all *S*~~s~~tudents and ~~staff~~*employees*. This policy establishes guidelines to address *Student behavior that significantly disrupts the University environment or may pose an imminent risk to the University community and where no reasonable accommodation can adequately reduce the disruption or risk.*~~the needs of students who are experiencing serious psychological problems that may compromise their safety or the safety of others.~~

Definitions

~~**Serious psychological problems** result in behaviors, occurring on campus, in which a student is a danger to themselves or others or causes significant disruptive activity.~~

~~**Emergency Situation:** occurs when a student is an imminent danger to self or others or there is reasonable certainty of this danger occurring in the immediate future. Examples of emergency situations are, but are not limited to, a suicide attempt, threat of a suicide attempt, actual physical harm to another person or threat of imminent harm to another person.~~

~~**Non-emergency Situation:** occurs when the student's behavior is such that it is reasonable to believe that further deterioration of the behavior could result in significant disruptive behavior and/or become dangerous to any member of the university community. Examples of non-emergency situations include, but are not limited to, repeated aberrant behavior such as inappropriate outbursts in classrooms or university offices or obvious non-lethal threats of aggression or increased levels of risk from behavioral distress, disturbances or deregulation.~~

Behavior Intervention Team (BIT): a team composed of ~~u~~*U*niversity professionals who review and evaluate reported *S*~~s~~tudent behavioral situations that are concerning to evaluate the ~~s~~Student's observed conduct and actions. In addition to the evaluation of qualified ~~m~~*M*ental *H*~~h~~ealth and medical providers, the team may evaluate the *S*~~s~~tudent's risk level utilizing standardized threat assessment measures. Membership of the BIT may vary depending on the nature of the situation.

Dean of Students: *the Assistant Vice President of Student~~s~~ Affairs and Dean of Students is the chair of the Behavioral Intervention Team and is the staff member responsible for the*

application and review of this policy, as designated by the Vice President of Student Affairs and the University President.

Involuntary Withdrawal Committee: *a subset group of the Behavioral Intervention Team that meets with Students that are involved in the application of this policy and process. This team will compile all information and present it to the Behavioral Assessment Team.*

~~**Qualified**~~ **Mental Health Provider:** a professional licensed by a state-recognized board to offer mental health services in Texas or in another state if the ~~s~~*S*tudent returns to another state for evaluation and/or treatment.

~~**Psychological Review Board:** composed of a student conduct authority, the assistant dean of student affairs for support services, the ADA coordinator, a staff counselor from Counseling Services, and a physician from the Student Health Center acting as chair. The director of health services acts as the contact person to initiate hearing proceedings and may appoint alternate members when deemed necessary.~~

Student: *an individual who is enrolled or is eligible to enroll in classes with the University.*

Student Conduct ~~**Authority**~~***Administrator/Conduct Officer*****:** any person or persons authorized by the *V*~~v~~ice ~~p~~*P*resident ~~for~~*of* ~~university~~ *Student* ~~a~~*A*ffairs or *D*~~d~~esignee to ~~determine whether a student has violated the Student Code of Conduct and to recommend or impose sanctions when a violation has been committed.~~*administer the Student Code of Conduct.*

University: *is Stephen F. Austin State University or SFA.*

Reporting ~~**and Response**~~

Anyone with knowledge of a ~~s~~*S*tudent displaying *behaviors that pose a disruption or imminent risk or danger to the University should report these behaviors to one of the following offices.*

Behaviors that put an individual or the University community in imminent risk or danger should be immediately referred to the SFA University Police Department (UPD). UPD will coordinate the response to these reports.

Behaviors that do not pose an imminent danger or risk to an individual or the University community should be referred to the Dean of Students Office in a timely manner. The Dean of Students Office will coordinate the response to these reports.~~behavior that could place the student or others in imminent danger should immediately contact the University Police Department (UPD). UPD will coordinate the response to the incident.~~

~~Response will be based upon the severity of the behavior and may range from obtaining medical/mental health assistance for the student to taking the student into custody.~~

~~Emergency Procedures~~

~~When an incident is deemed to be an emergency situation, UPD will contact a student conduct authority as soon as is reasonably possible after responding to the reported incident. The student conduct authority, under the direction of the vice president for university affairs/designee, may send a letter to the student indicating the student is barred from campus and class attendance until certain conditions are met. These conditions may include, but are not limited to, meeting with the student conduct authority to review the case, an evaluation and release from a qualified mental health provider stating the student is ready to return to campus and class and/or that the student agrees to refrain from the behavior displayed in the incident. Also within the letter, the student will be informed of their right to have a hearing with the Psychological Review Board within five (5) working days for reconsideration of the incident and the required conditions.~~

~~The student may:~~

~~a) accept the required conditions stated in the letter and return to campus and class without a hearing, or~~

~~b) request a hearing and remain off campus and not attend class until the matter is resolved, or~~

~~c) do neither and, after the fifth day, be suspended from the university for at least the remainder of the semester and until the required conditions are met.~~

~~The request for a hearing must be made in writing and delivered to the student conduct authority within two (2) working days of receipt of the letter to preserve the right of a hearing within five (5) days. A request filed after two (2) days but before the end of the fifth day will preserve the right of a hearing but not the right of a hearing within the five (5) day timeframe; however, the university will make every attempt to hold the hearing as quickly as is reasonably possible. Upon receipt of the written request, the student conduct authority will contact the director of health services, who chairs the Psychological Review Board, as soon as is reasonably possible to begin hearing proceedings.~~

~~The student conduct authority may, under the direction of the vice president for university affairs/designee, refer the case immediately to the Psychological Review Board for a hearing within five (5) working days in cases where suspension from the university and/or removal from a class, program or service may be a possibility. The student conduct authority will send a letter to the student with initial notice of the hearing and state that the student is barred from campus and attending class until the hearing is held and the matter is resolved. The formal notice of the hearing date, time and place and the hearing process will follow the procedures outlined in the Hearing Procedures section of this policy.~~

~~If no imminent danger is found, UPD will contact the student conduct authority who may continue under non-emergency procedures.~~

~~**Non-Emergency Procedures**~~

~~A student conduct authority can receive a report of an incident from the University Police Department or anyone with knowledge of a student displaying behaviors described in the non-emergency situation definition of this policy. The student conduct authority will begin an initial investigation into the incident that may include interviewing involved parties and seeking input from appropriate professional resources. The student in question will be directed to report to the student conduct authority as soon as is reasonably possible for an initial meeting. At this meeting, student conduct authority will interview the student and make one of the following findings:~~

- ~~The student's condition is currently such that the student is an imminent danger to self or others. In this case, the student conduct authority will immediately contact UPD to begin emergency procedures.~~
- ~~The student's condition is currently such that further deterioration could reasonably result in harm or danger to a member of the university community or the condition continues to display significant disruptive behavior. In this case, the student conduct authority will immediately issue an initial notice to the student that a hearing with the Psychological Review Board will be held within the next five (5) working days and will contact the director of health services as soon as is reasonably possible to begin hearing proceedings. The formal notice of the hearing date, time and place and the hearing process will follow the procedures outlined in the Hearing Procedures section of this policy.~~
- ~~The student's condition is currently such that counseling or other services would benefit the student. The student conduct authority will assist the student in making the necessary referrals. If the student's condition is drug or alcohol related, the student conduct authority will follow the procedures outlined in the Illicit Drugs and Alcohol Abuse (13.11) policy.~~
- ~~The student's behavior was not related to a serious psychological problem. The case may, at the discretion of the student conduct authority, be handled through the regular disciplinary procedures outlined in the Student Code of Conduct (10.4).~~
- ~~The student's condition and behavior is found to require no action.~~

General

The University may withdraw a Student involuntarily if it is determined the continued presence of the Student in the University community poses a serious risk to the safety of the University community, another person, or property. An involuntary withdrawal is intended to allow the Student to take time to address the behaviors that led to the involuntary withdrawal. At any time prior to the decision to involuntarily withdraw a Student, the Student may voluntarily withdraw themselves from the University for a period of time. If it is determined this process should continue, a registration hold will be placed on the Student's account to prevent them from ~~re-~~registering. This temporary hold will remain in place through the conclusion of this process.

This Involuntary Withdrawal process is separate from the Student Conduct ~~p~~Process under the Student Code of Conduct and one may have no bearing on the other. An involuntary withdrawal is not considered a sanction and is not subject to any Student Conduct ~~p~~Process.

The possible outcomes from this process are: Student remains at the University with no conditions; Student remains at the University but has certain conditions put in place; Student is involuntarily withdrawn from the University if they have decided to not withdraw voluntarily.

If a Student is involuntarily withdrawn, they must promptly (typically within 48 hours) vacate their on-campus residence (if applicable) and leave campus in the allotted time and may not participate in Student activities, University events, or use University facilities. In certain situations, and at the discretion of the Dean of Students, Students may be asked to vacate immediately or be escorted by the University Police Department while on-campus. Students involuntarily withdrawn may not re-enroll in classes and may not return to University property unless authorized to do so in writing by the SFA University Police Department Chief or Deputy Chief.

Interim Measures

In situations where the Student's behavior poses an imminent threat to a person or the University community, the Student Conduct Administrator/Conduct Officer, in consultation with the Dean of Students, may involuntarily withdraw a Student on an interim basis. The Student may request a meeting with the Student Conduct Administrator/Conduct Officer within three (3) business days to discuss the interim involuntary withdraw. —After this meeting, the Student Conduct Administrator/Conduct Officer will either uphold the interim involuntary withdrawal or remove it. Removal of the interim involuntary withdrawal does not stop the full involuntary withdrawal process.

Process

The Student in the Involuntary Withdrawal process will be notified in writing to their University email address of the initiation of the process, the rights they have as a Student, and the expectations placed upon them. The Student will also be informed of their right to a meeting with the Involuntary Withdrawal Committee. This meeting will review the information related to the issue (including information provided by the Student) and is also an opportunity for the Student to respond to the information and answer any questions from the Involuntary Withdrawal Committee. The meeting will occur within five (5) business days of the process notification. If Interim Measures have been put in place, the Student may appear before the Involuntary Withdrawal Committee via remote options or in-person with written permission from the Chief of Police or Deputy Chief. If a student elects to attend in-person, they may be escorted by University Police while on-campus. The meeting will be recorded in audio and/or video format and this recording will become part of the information for this case and will be the property of the University.

Depending upon the circumstances, the Involuntary Withdraw Committee may require the Student meet with a Mental Health Provider for an evaluation. The Student will be required to sign all appropriate releases to allow the Mental Health Provider to discuss in-full the Student with the chair of the Involuntary Withdrawal Committee.

The Student has the following rights:

- *To be present, either remotely or in-person, during the presentation of information*
- *To be accompanied by an advisor*
- *To present pertinent witnesses and information*
- *To question any information presented through the chair of the committee*

At the conclusion of the meeting, the Involuntary Withdrawal Committee will meet in private session to discuss the information and determine their recommendation. This discussion and recommendation will assess all available information and information garnered as part of this process. The Involuntary Withdrawal Committee will present their information to the Behavioral Intervention Team for discussion. The Behavioral Intervention Team will draft a recommendation to be submitted to the Vice President of Student Affairs.

The recommendation will be:

- *To involuntarily withdraw the Student until certain specified conditions are met (if applicable)*
- *To allow the Student to continue at the University, under specified conditions*
- *To not involuntarily withdraw the Student and put no conditions in place*

The recommendation will be sent to the Vice President of Student Affairs within five (5) business days of the meeting with the Student.

After receipt of the recommendation from the Behavioral Intervention Team, the Vice President of Student Affairs will assess all information pertaining to the process, including any information provided by the Student, and will make a decision. This decision will be:

- *To concur fully with the recommendation of the Behavioral Intervention Team*
- *To modify the recommendation of the Behavioral Intervention Team*
- *To dissent with the recommendation of the Behavioral Intervention Team*

The Vice President of Student Affairs will notify the Student to their SFA email address of their decision within three (3) business days of receipt of the Behavioral Intervention Team's recommendation.

~~**Behavior Intervention Team**~~

~~If the Behavior Intervention Team convenes, the meeting will incorporate an individual assessment of the student that includes observations of actions that could indicate safety or code of conduct issues. This assessment includes input from qualified health and mental health professionals to help determine the risk of substantial harm and whether a student is "otherwise qualified" to take classes or remain in the residence halls. The members will also determine if there are reasonable ways to accommodate the student to decrease risk and/or to ensure compliance with polices and the Student Code of Conduct. If no reasonable accommodations can be determined, the student will have a right to a hearing before the Psychological Review Board before a final decision is made to dismiss or withdraw the student. In exigent circumstances, the vice president for university affairs/designee may take immediate measures to suspend the student until a final decision is made.~~

~~Psychological Review Board Procedures~~

~~Pre-hearing Process~~

~~The chair of the Psychological Review Board will give written notice of the hearing to the student at least three university business days before the date of the hearing. This notice will contain the date, time and place of the hearing; the date(s), time(s), place(s) and a brief description of the behavior in question; and the rights accorded to the student in the hearing. The hearing may be held sooner than three (3) days at the request of the student. The hearing will be closed unless the student requests otherwise. The student conduct authority will be responsible for coordinating the gathering of witnesses and other evidence and delivering a witness list and evidence to the chair.~~

~~Hearing Process~~

~~At the hearing, the chair will rule on all procedural matters and the admissibility of evidence. The informal nature of this proceeding does not require strict adherence to formal courtroom procedures or rules of evidence. All parties will be afforded the opportunity for reasonable oral argument, to question any participant present in the hearing, and be permitted to file written briefs.~~

~~The student has the right to:~~

- ~~be present during the presentation of all evidence,~~
- ~~be accompanied by an advisor,~~
- ~~present such witnesses and documentary evidence as may be pertinent, and~~
- ~~cross-examine witnesses offered by other parties.~~

~~The record of the hearing will consist of the summary notes of the chair or a secretary appointed by the board, a tape recording or transcription of testimony, along with any exhibits admitted as evidence.~~

~~Immediately after the hearing, the board will decide upon a recommendation to make to the vice president for university affairs. The recommendation may include withdrawal of the student from the university or any class, program or service. The recommendation, along with the record, will be forwarded to the vice president for university affairs by the chair as soon as possible, but no later than two (2) university working days from the adjournment of the hearing.~~

~~Within three (3) university working days following the receipt of the recommendation of the board, the vice president for university affairs will either concur, in whole or in part, with the recommendation of the board and direct appropriate action to implement the recommendation, or will overrule the recommendation. The vice president will inform the~~

~~student of the action to be taken and is the final authority in these proceedings.~~

Requesting a Review of Decision

The Student as part of this process may request a review of the Vice President of Student Affairs' decision. This review will be conducted by the Executive Vice President and Provost. If a Student wishes to request a review, this request must be submitted in writing to the Executive Vice President and Provost within three (3) business days of receiving the Vice President of Student Affairs' decision. This request should outline the reasons the Student believes a review is necessary. Failure to submit a request within three (3) business days will result in the decision of the Vice President of Student Affairs being final and that there is no further level of review.

The Executive Vice President ~~&~~and Provost will review all information associated with this issue and render a decision within three (3) business days. This decision may be to:

- *Uphold the decision of the Vice President of Student Affairs*
- *Uphold the decision with modifications*
- *Overturn the decision.*

The decision of the Executive Vice President ~~&~~and Provost is final and there is no further level of appeal.

~~**Suspension Procedures**~~

~~In cases where a student is suspended from the university under this policy, occurring through failure to accept to the required conditions, failure to request a hearing or through recommendation of the board, the vice president for university affairs will direct the student conduct authority to notify the student in writing that the student is barred from re-enrollment to the university until the required conditions are met. The student conduct authority will place a bar on the student's university account preventing the student from re-enrollment until approval is obtained from the student conduct authority. Other university offices will be contacted as necessary for completion of the suspension.~~

Retention of the Record and Confidentiality

~~Any records dealing with an incident of a student displaying serious psychological problems will be held~~*Records pertaining to this process will be kept,* ~~indefinitely by the student conduct authority as a confidential file~~*separate from a Student's conduct record.*~~,~~ *These records will not be disclosed unless compelled to by state or federal law or at the request of the Student.*~~apart from disciplinary records, to be released or accessed only by those having legitimate need as defined by state and federal laws.~~

Non-Discrimination

Decisions under this policy will be made based on *observed behaviors and all best-available information. No decision will be made based upon a Student's actual or perceived disability.*~~observations of a student's conduct, actions and statements and not on the knowledge or belief that a student is an individual with a disability.~~

Cross Reference: ~~Illicit Drugs and Alcohol Abuse (13.11)~~*Course Add/Drop (6.10); Student Medical Appeal (6.24)*; Student Code of Conduct (10.4)

Responsible for Implementation: Vice President *of* ~~for~~ ~~University~~ *Student* Affairs

Contact For Revision: *Assistant Vice President of Student Affairs & Dean of Students*~~Dean of Student Affairs~~

Forms: None

Board Committee Assignment: Academic and Student Affairs

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Terminal Degrees

Policy Number: 7.30

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

Date of last revision, if applicable: 10/29/2018

Unit(s) Responsible for Policy Implementation: VPAA

Purpose of Policy (what does it do): Terminal degree requirements for faculty

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: copy editing for clarification and minor edits.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Deans Council
Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
Damon Derrick, General Counsel

Terminal Degrees

Original Implementation: July 21, 2009
Last Revision: ~~October 29, 2018~~*November 1, 2021*

Stephen F. Austin State University is committed to maintaining a high-~~-~~quality faculty. Toward that end, the university aspires to recruit and retain faculty members with terminal degrees in their disciplines. A terminal degree is defined as the generally accepted highest degree in a field of study.

As a general rule, possession of an earned doctorate or other recognized terminal degree from an accredited institution in an area appropriate to the individual's discipline *is*~~will be~~ required for appointment to a tenure-track or tenured faculty position.

Exceptions to the *general rule*~~requirement~~ of a terminal degree may be *allowed. Upon recommendation of the academic unit head and the dean of the college,* ~~made by~~ the provost and *executive* vice president for academic affairs ~~, but only upon recommendation of by the academic unit head and dean of the college. The~~*may approve the* following circumstances *in lieu of* ~~may justify approval of an exception to~~ the ~~requirement of a~~ recognized terminal degree in a discipline-related field: (a) well-documented preparation and experience appropriate to the discipline that meets accreditation standards; or (b) exceptional preparation and experience for instruction in a discipline when the faculty member has a recognized terminal degree in another area.

Terminal degree requirements for appointment to a tenure-track position will be clearly stated in position announcements. Wh*en*~~ere~~ appropriate, an offer of employment will provide the time period in which the terminal degree must be completed. Verification of a completed terminal degree will require an official transcript sent directly to the Office of Academic Affairs by the degree-granting institution.

Cross Reference: Academic and Professional Qualifications (7.1); Academic Appointments and Titles (7.2); File Maintenance for Faculty Personnel Files (4.6)

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

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

Forms: Faculty Certification of Credentials; Recommendation for Appointment

Appendix 1

Board Committee Assignment: Academic and Student Affairs

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Vending

Policy Number: 16.35

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

Date of last revision, if applicable: 10/29/2018

Unit(s) Responsible for Policy Implementation: Vice President of Student Affairs, Auxiliary Enterprises

Purpose of Policy (what does it do): Identifies responsible parties for vended products on campus

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Title and division name changes

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Carrie Charley, Executive Director of Campus Living, Dining, and Auxiliary Enterprises
Brandon Frye, Vice President of Student Affairs
Damon Derrick, General Counsel

Vending

Original Implementation: Unpublished
Last Revision: ~~October 29, 2018~~*November 1, 2021*

The food and beverage vending machines located on campus are the responsibility of the respective contract vendors. This responsibility shall include furnishing, servicing and maintaining machines, purchasing goods for resale, and collecting funds. These vendors shall place vending machines in accordance with the negotiated contract. Specific exceptions to this policy are:

1. Coin-operated copy machines, which are the responsibility of the individual department; and
2. Coin-operated game machines, which are the responsibility of the director of ~~student services~~*the Baker Pattillo S~~s~~tudent C~~c~~enter*.

Other exceptions or requests shall be considered on an individual basis, and should be addressed in writing to the vice president *of*~~or~~ ~~university~~ *student* affairs.

Cross Reference: None

Responsible for Implementation: Vice President *of*~~or~~ ~~University~~ *Student* Affairs

Contact for Revision: ~~Director of Student Services/Director of Student Center~~*Executive Director of Campus Living, Dining and Auxiliary Enterprises*

Forms: None

Board Committee Assignment: Building and Grounds

Appendix 1

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Workplace Accommodations for Lactation/Breastfeeding

Policy Number: 11.33

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

Date of last revision, if applicable: 10/29/2018

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

Purpose of Policy (what does it do): The university is committed to providing and promoting a work environment that is supportive of nursing mothers. The university will provide reasonable accommodations for employees for the purposes of expressing breast milk during the workday. Human resources will oversee the accommodation process.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

John Wyatt, Interim Director Human Resources
Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Workplace Accommodations for Lactation and Breastfeeding

Original Implementation: November 2, 2015
Last Revision: ~~October 29, 2018~~*November 1, 2021*

Purpose

The university is committed to providing and promoting a work environment that is supportive of nursing mothers. The university will provide reasonable accommodations for employees for the purposes of expressing breast milk during the workday. Human resources will oversee the accommodation process.

Definitions

Employee means an individual who is employed full-time, part-time, or in a temporary capacity as faculty or staff, or who is required to be a student as a condition of employment.

General

Nursing mothers may take a reasonable amount of break time as needed for the expression of breast milk. The frequency and duration of these breaks may vary as determined by the needs of the mother. Ideally, this break time will run concurrently with an employee's paid break time. Supervisors will make separate or additional time available if it is not feasible for the lactation time to correspond with regular breaks. The additional time may be unpaid. If needed or desired, vacation time, compensatory time, or flexible scheduling may be used for this accommodation. If leave balances are used or if the time is unpaid, this time may count towards an employee's family and medical leave (FMLA) entitlement.

Designated Areas

The university will provide appropriate and accessible space for employees to breastfeed or express milk in private. This location may be the employee's regularly assigned workspace if there is adequate privacy to perform the activity. The location provided must be shielded from view and free from intrusion from other employees and the public. Areas such as restrooms or open cubicles are not considered appropriate spaces for the university to provide under this policy.

Responsibilities

Supervisors may not deny a lactating employee the right to express milk during the workday and should ensure that accommodations are administered consistently, equitably, and fairly.

Employees are to plan and organize their time to meet the job responsibilities established by their supervisor. Employees are expected to complete or account for the required number of work hours in their respective workweek, unless otherwise agreed to by their supervisor or limited by their healthcare provider. Employees are to notify their supervisor of any changes needed to the agreed upon schedule in advance.

Retaliation

An employee may not be discriminated against, harassed, or otherwise retaliated against for asserting their right to express breastmilk.

Cross Reference: Tex. Gov't Code §§ 619.001 - .006.

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: None

Board Committee Assignment: Academic and Student Affairs

Appendix 2

Report to the Board of Regents – October 2021
Grants[1] awarded between and July 1, 2021 and September 30, 2021

Summary Report – Fiscal Year 2021

Amounts allocable to FY21 (detailed in this report)	
Federal funds (direct and pass-through)	$ 1,349,269
State Funds (direct and pass-through)	$ 57,155
Private and Local Government	$ 61,700
TOTAL	**$ 1,468,124**
New awards, FY21 (detailed in this report, all project years)	**$ 357,432**
Cumulative amount allocable to FY21	**$ 34,109,561**
Cumulative award total FY21, all project years	**$108,458,662**
Federal Financial Aid Funds *(not included in ORGS totals)*	*$* 8,987,986

New, Additional, or Previously Unreported Awards for FY 2021

Federal Funds (direct and pass-throughs)

Title **** Collaborative Research: Investigating STEM Teacher Preparation and Rural Teacher Persistence and Retention (TPR2)***
Sponsor: National Science Foundation
Award # 2050108
Award Term: July 1, 2021 to June 30, 2025
PI/PD: Dr. Keith Hubbard, Mathematics & Statistics
Total Award: $141,577 **Amount Allocable to FY 2021**: $20,120
A four-year collaborative research project to investigate educator preparation for high-needs rural classrooms across the U.S. to identify the features that have an impact on STEM teachers' decisions about teaching in rural schools.

Previously Described Awards:
CARES Act: Stephen F. Austin State University Higher Education Emergency Relief – Strengthening Institutions Program (SIP)
Judith Kruwell, Finance and Administration
Award Total: $2,570,844 **Amount allocable to FY 2021:** *$1,329,149

***Subtotal Federal Amounts Allocable to FY 2021 (this report)* = $1,349,269**
Subtotal New Federal Awards (total award) = $2,712,421

Federal Financial Aid Funds (not included in ORGS totals)
Agency: Department of Education
Manager: Rachele Garrett, Financial Aid
PELL FY22 $8,987,986

**New awards or additional funds added to a current award*
[1]*For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.*

Appendix 2

Report to the Board of Regents – October 2021
Grants[1] awarded between and July 1, 2021 and September 30, 2021

State Funds (direct and pass-through)

Title **** Texas State Parks Visitor Market Analysis***
Sponsor: Texas Workforce Commission
Award Term: July 24, 2021 to January 31, 2023
PI/PD: Dr. Pat Stephens-Williams, Forestry
Total Award: $127,000 **Amount Allocable to FY 2021**: $30,000
Research funds award to conduct a comprehensive market analysis of current state park visitors

Title **** Economic Impact of the Purchasing from People with Disabilities Program***
Sponsor: Texas Workforce Commission
Award Term: August 1, 2021 to February 28, 2022
PI/PD: Dr. Mikhail Kouliavtsev, Economics and Finance
Total Award: $27,155 **Amount Allocable to FY 2021**: $27,155
Research project to determine direct and indirect benefits resulting from individuals with disabilities employed with the State Use Program.

***Subtotal State Amounts Allocable to FY 2021 (this report)* = $57,155**
***Subtotal New State Awards (total award)* = $154,155**

Private Entity and Local Government Awards

Title ****COVID-19 Information/Education and Broadband Technology Action Plan***
Sponsor: Hogg Foundation for Mental Health
Award Term: May 1, 2021 to May 31, 2022
PI/PD: Dr. Stephen Cooper, School of Social Work
Total Award: $51,700 **Amount Allocable to FY 2021**: $51,700
Research project to develop a broadband technology action plan to address internet connectivity in the rural Nacogdoches County area, and to provide education and outreach for COVID education.

Title **** Bottlenose Dolphin Cognition - anthropogenic noise and vocalizations***
Sponsor: Dolphin Quest
Award Term: March 21, 2021 to March 19, 2022
PI/PD: Dr. Jason Bruck, Biology
Total Award: $10,800 **Amount Allocable to FY 2021**: $7,000
Research project involving dolphins and the effects of noise on attention, learning, and memory.

**New awards or additional funds added to a current award*
[1]For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

Appendix 2

Report to the Board of Regents – October 2021
Grants[1] awarded between and July 1, 2021 and September 30, 2021

Previously Described Awards:
Career Exploration FY21
Center for Career and Professional Development
Award Total: $3,000 **Amount allocable to FY 2021:** $3,000

***Subtotal Private and Local Amounts Allocable to FY2021 (this report)* = $61,700**
***Subtotal New Private and Local Awards (total award)* = $65,500**

**New awards or additional funds added to a current award*
[1]For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

Appendix 2

Report to the Board of Regents – October 2021
Grants[1] awarded between and July 1, 2021 and September 30, 2021

Fiscal Year 2022 – *as of September 30, 2021*

Amounts allocable to FY22 (detailed in this report)	
Federal funds (direct and pass-through)	$23,357,732
State Funds (direct and pass-through)	$ 3,272,932
Private and Local Government	$ 306,401
TOTAL	**$26,937,065**
New awards, FY22 (detailed in this report, all project years)	**$27,757,603**
Cumulative amount allocable to FY22	**$26,937,065**
Cumulative award total FY22, all project years	**$76,821,287**

New, Additional, or Previously Unreported Awards for FY 2022

Federal Funds (direct and pass-throughs)

Title **** Talented Teachers in Training for Texas eXpended (T4X)***
Sponsor: National Science Foundation
Award # 2050397
Award Term: September 1, 2021 to August 31, 2026
PI/PD: Dr. Keith Hubbard, Mathematics & Statistics
Total Award: $1,437,990 **Amount Allocable to FY 2022**: $120,231
Collaborative research project to expand the knowledge base of STEM teacher preparation by working with multiple junior colleges and ISDs.

Title **** Correlates of Amphibian Communities on SRS EFRs and R8 National Forests***
Sponsor: US Forest Service, US Department of Agriculture
Award # 21-JV-11330170-037
Award Term: August 24, 2021 to July 31, 2026
PI/PD: Dr. Christopher Schalk, Forestry
Total Award: $25,000 **Amount Allocable to FY 2022**: $25,000
Award funds will be used to fund a PhD student to study spatial and temporal patterns of pond amphibians to address questions on the response of biodiversity to agents of global change.

Title **** Sediment Control Approved Products List***
Sponsor: Texas Department of Transportation (prime - US Department of Transportation)
Award # 0-7100
Award Term: September 1, 2021 to August 31, 2023
PI/PD: Dr. Christopher Schalk, Forestry
Total Award: $10,683 **Amount Allocable to FY 2022**: $5,342
Faculty research to create a sediment control plan to help reduce sediment generated during construction.

**New awards or additional funds added to a current award*
[1]For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

Appendix 2

Report to the Board of Regents – October 2021
Grants[1] awarded between and July 1, 2021 and September 30, 2021

Previously Described Awards:

CARES Act: Stephen F. Austin State University Higher Education Emergency Relief-Students
Erma Nieto-Brecht, Admissions
Award Total: $25,869,845 **Amount allocable to FY 2022:** *$7,934,922

CARES Act: Stephen F. Austin State University Higher Education Emergency Relief – Institutional Aid
Judith Kruwell, Finance and Administration
Award Total: $32,045,018 **Amount allocable to FY 2022:** *$13,391,239

CARES ACT: Higher Education Emergency Relief Fund-Strengthening Institutions Program (SIP)Judith Kruwell, Finance and Administration
Award Total: $2,570,844 **Amount allocable to FY 2022:** *$722,284

Visually Impaired Preparation (VIP) FY21-22
Dr. Shannon Darst, Education Studies
Award Total: $1,204,000 **Amount allocable to FY 2022:** $602,000

McIntire-Stennis Cooperative Forestry Research Program FY21
Dr. Hans, Williams, Forestry
Award Total: $472,877 **Amount allocable to FY 2022:** $472,877

Special Education Consolidate Grant FY22 (IDEA-B)
Lysa Hagan, Education Studies
Award Total: $35,871 **Amount allocable to FY 2022:** $35,871

Expanding Opportunities in Agriculture for Under Represented Populations
Dr. Candis Carraway, Agriculture
Award Total: $90,000 **Amount allocable to FY 2022:** $28,903

La Nana Bayou Watershed Protection Plan (WPP) Development
Dr. Matthew McBroom, Forestry
Award Total: $33,127 **Amount allocable to FY 2022:** $16,563

Establishment Of Silvopasture Demonstration Area Using Native Grasses
Jason Grogan, Forestry
Award Total: $75,000 **Amount allocable to FY 2022:** $2,500

***Subtotal Federal Amounts Allocable to FY 2022 (this report)* = $23,357,732**
Subtotal New Federal Awards (total award) = $24,030,866

State Funds (direct and pass-through)

**New awards or additional funds added to a current award*
[1]For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

Appendix 2

Report to the Board of Regents – October 2021
Grants[1] awarded between and July 1, 2021 and September 30, 2021

Title **** The Survivability and Habitat use of Alligator Snapping Turtles via Radiotelemetry***
Sponsor: Texas Comptroller of Public Accounts
Award # 27-7336BG
Award Term: August 30, 2021 to December 31, 2023
PI/PD: Dr. Christopher Schalk, Forestry
Total Award: $227,279 **Amount Allocable to FY 2022**: $110,838
Research project for telemetry work on alligator snapping turtles and assess survivability of the released turtles.

Title **** 2021-2023 ESSER Supplemental (ESSER-SUPP) Grant Program***
Sponsor: Texas Education Agency (prime – CARES ACT - US Department of Education)
Award # 21528043174801
Award Term: September 1, 2021 to August 31, 2023
PI/PD: Lysa Hagen, Education Studies
Total Award: $137,750 **Amount Allocable to FY 2022**: $68,875
Supplemental formula grant.

Previously Described Awards
SFA Charter School (ADA, non-grant)
Lysa Hagan, Charter School
Award Total: $9,593,804 **Amount allocable to FY 2022: ***$2,546,312

SFA Jacks Teach
Dr. Jane Long, Mathematics and Statistics
Award Total: $640,000 **Amount allocable to FY 2022:** $280,000

Child Welfare Professional Development Project FY17-21
Dr. Freddie Avant, School of Social Work
Award Total: $1,029,742 **Amount allocable to FY 2022:** $167,081

Texas State Parks Visitor Market Analysis
Dr. Pat Stephens-Williams, Forestry
Award Total: $127,000 **Amount allocable to FY 2022:** $87,000

Joint Admission Medical Program (JAMP) FY20-23
Dr. Kevin Langford, Biology
Award Total: $38,660 **Amount allocable to FY 2022:** $12, 826

***Subtotal State Amounts Allocable to FY 2022 (this report)* = $3,272,932**
***Subtotal New State Awards (total award)* = $2,911,341**

Private Entity and Local Government Awards

**New awards or additional funds added to a current award*
[1]For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

Appendix 2

Report to the Board of Regents – October 2021
Grants[1] awarded between and July 1, 2021 and September 30, 2021

Title: **** Better Together (Nacogdoches County Community Collaborative phase 2)***
Sponsor: Hogg Foundation for Mental Health
Award Term: July 1, 2021 to June 30, 2026
PIs/PDs: Dr. Stephen Cooper, School of Social Work
Total Award $750,000 **Amount Allocable to FY 2022**: $153,216
Research project to continue work with partners to develop and implement a plan to address mental health, health, wellness, and well-being needs for all residents of Nacogdoches County.

Title: **** Identifying Salt Suture Zones and Lithological Changes of the Louann Salt across the Gulf of Mexico Basin, TX***
Sponsor: American Chemical Society
Award Term: September 1, 2021 – August 31, 2023
PIs/PDs: Dr. Julie Bloxson, Geology
Total Award $55,000 **Amount Allocable to FY 2022**: $27,142
This grant will cover student research (one graduate and two undergraduates) for two years to research geochemical analysis of well samples from the Texas Bureau of Economic Geology.

Title: ****Course Hero/Woodrow Wilson Fellow for Excellence in Teaching***
Sponsor: Institute for Citizens and Scholars
Award Term: March 29, 2021 – June 30, 2022
PIs/PDs: Dr. Jason Bruck, Biology
Total Award $10,396 **Amount Allocable to FY 2022**: $10,396
Excellence in Teaching award to Dr. Bruck to support his innovative teaching initiatives.

Previously Described Awards:
Evaluating Woody Ornamentals for Galveston Island in an Era of Rapid Climate Change
Dr. David Creech, SFA Gardens
Award Total: $195,601 **Amount allocable to FY 2022:** $ 66,847

Departmental Research Grant: Basic Chemical Research FY20-22
Dr. Odutayo Odunuga, Chemistry
Award Total: $135,000 **Amount allocable to FY 2022:** $ 45,000

Bottlenose Dolphin Cognition - anthropogenic noise and vocalizations
Dr. Jason Bruck, Biology
Award Total: $10,800 **Amount allocable to FY 2022:** $ 3,800

**New awards or additional funds added to a current award*
[1]For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

Appendix 2

Report to the Board of Regents – October 2021
Grants[1] awarded between and July 1, 2021 and September 30, 2021

***Subtotal Private Amounts Allocable to FY 2022 (this report)* = $306,401**
***Subtotal New Private Awards* (*total award*) = $815,396**

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

**New awards or additional funds added to a current award*
[1]For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

Stephen F. Austin State University

MINUTES OF THE BOARD OF REGENTS

Nacogdoches, Texas
December 12, 2021
Volume 352

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COMMITTEE OF THE WHOLE

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Acknowledge Receipt of Audit Services Report 2

Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
December 12, 2021
Austin Building, Room 307
Meeting 352

Sunday, December 12, 2021

The meeting of the Board of Regents was called to order in open session at 3:59 p.m. by Chair Karen Gantt.

PRESENT:

Board Members:	Mrs. Karen Gantt, Chair
	Mr. Tom Mason, Vice Chair
	Mrs. Jennifer Winston, Secretary
	Mr. David Alders
	Mr. Robert Flores
	Mrs. Brigettee Henderson
	Mrs. Judy Olson
	Dr. Laura Rectenwald
	Ms. Nancy Windham
	Mr. Spencer Coffey, Student Member
General Counsel:	Mr. Damon Derrick
President:	Dr. Scott Gordon
Chief Audit Exec.:	Mrs. Gina Oglesbee
Cabinet Members:	Ms. Erma Brecht
	Dr. Michara DeLaney-Fields
	Mr. Anthony Espinoza
	Mr. Brandon Frye
	Mr. Graham Garner
	Mr. Ryan Ivey
	Ms. Judi Kruwell
	Dr. Lorenzo Smith
	Ms. Jill Still
	Dr. Charlotte Sullivan

Other SFA administrators and staff were in attendance.

Presentation and board action were taken on the following items.

Board Order 22-18
Upon motion by Regent Mason, seconded by Regent Flores, with all members voting aye, it was ordered that the following item be approved.

ACKNOWLEDGE RECEIPT OF 2020-2021 ANNUAL FINANCIAL REPORT

WHEREAS, the board members considered the following: As required by state law, Stephen F. Austin State University submitted the August 31, 2021, Annual Financial Report to the Office of the Governor, Comptroller of Public Accounts, Legislative Budget Board, Texas Higher Education Coordinating Board, Legislative Reference Library, Texas State Library and Texas State Auditor's Office. The report reflected the university's financial activities for the period September 1, 2020, through August 31, 2021.

THEREFORE, it was ordered that the Stephen F. Austin State University 2020-2021 annual financial report be approved as presented.

Board Order 22-19
Upon motion by Regent Mason, seconded by Regent Winston, with all members voting aye, it was ordered that the following item be approved.

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

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

External Audit Services Review of SFASU Annual Financial Statements
Analysis of Financial Position
Budget Special Project

Chair Gantt called the meeting into executive session at 6:32 p.m. to consider the following items:

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints and EEOC charges (Texas Government Code, Section 551.071)

Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the chief audit executive, director of athletics, head football coach, general counsel, chief marketing communications officer, vice presidents and the president. (Texas Government Code, Section 551.074)

The executive session ended and the Board of Regents meeting returned to open session at 9:06 p.m.

The meeting adjourned at 9:08 p.m.

STAFF APPOINTMENTS

Explanation:

Staff appointments are recommended by the department chair or director and approved by the appropriate dean (if applicable), vice president and/or president. Each appointment states salary, percentage of time employed, and designates the effective date of employment.

Recommendation:

It is recommended by the administration that the following staff appointments be approved.

CENTER FOR CAREER AND PROFESSIONAL DEVELOPMENT
Timothy McLemore, Director, at an annual salary of $62,000 for 100-percent time, effective 1/3/2022.

INFORMATION TECHNOLOGY SERVICES
Jordan Perez, Programmer Analyst I, at an annual salary of $41,000 for 100-percent time, effective 1/10/2022.

MULTICULTURAL AFFAIRS
Ja'von Long, Assistant Director, at an annual salary of $47,000 for 100-percent time, effective 11/29/2021.

RESIDENCE LIFE
Scarleth Lopez, Area Coordinator, at an annual salary of $45,000 for 100-percent time, effective 11/1/2021.

STUDENT ENGAGEMENT
Michael Onuchovsky, Coordinator, at an annual salary of $41,000 for 100-percent time, effective 11/10/2021.

Amanda West, Coordinator, at an annual salary of $41,000 for 100-percent time, effective 11/10/2021.

FACULTY APPOINTMENTS

Explanation:

Faculty appointments are recommended by the department chair and approved by the appropriate dean, provost/vice president for academic affairs and the president. Each appointment states salary and percentage of time employed, designates the semester or academic year (September through May) and states the effective date of employment. In addition, last degree and granting institution are included for first-time appointments.

Recommendation:

It is recommended by the administration that the following faculty appointments be approved.

RUSCHE COLLEGE OF BUSINESS

Marci Jackson, Ph.D. (University of Georgia), Assistant Professor of Business Communication and Legal Studies at an academic salary of $78,000 for 100-percent time, effective 1/1/2022.

CHANGES OF STATUS

Explanation:

Changes of status include changes in appointment, percentage of time, salary or semesters. These changes are initiated by the department chair or director and routed through administrative channels for approval.

Recommendation:

It is recommended by the administration that the following changes of status be approved.

STAFF

ATHLETICS
Colby Carthel, Head Coach of Football Operations. The president is authorized to negotiate and execute the Head Coach Employment Contract, upon review from legal form and sufficiency by the Office of the General Counsel.

ATHLETICS ACADEMIC SERVICES
Jordan Rains, from Student Compliance Specialist, at an annual salary of $38,000, 100-percent time, to Interim Director for Athletics Academic Services, at an annual salary of $38,000, 100-percent time, with a stipend of $1,250 for 3-months, effective 11/1/2021.

AUXILIARY SERVICES
Chase James, from Classroom Support Technician I for ITS Academic Support, at an annual salary of $39,200, 100-percent time, Technology Coordinator at an annual salary of $49,900, 100-percent time, effective 11/1/2021.

COUNSELING SERVICES
Ronald Smith, from Counselor at an annual salary of $53,175, 100-percent time, to an annual salary of $60,940 100-percent time, effective 11/1/2021.

FINANCIAL AND ADMINISTRATIVE SERVICES
Jennie Blough, from Assistant Director of Accounting Operations for

Controller's Office, at an annual salary of $72,318, 100-percent time, to Assistant Director, at an annual salary of $72,318, effective 11/1/2021.

Carol Fountain, from Assistant Director of Procurement and Property Services, at an annual salary of $78,061, 100-percent time, to Director, at an annual salary of $78,061, effective 11/1/2021.

Deborah Kay Johnson, from Director-HUB Coordinator of Procurement and Property Services, at an annual salary of $115,000, 100-percent time, to Executive Director at an annual salary of $120,750, 100-percent time, effective 11/1/2021.

INFORMATION TECHNOLOGY SERVICES

Tyler Davenport, from Systems Programmer II, at an annual salary of $50,000, 100-percent time, to an annual salary of $57,000, effective 10/1/2021.

Sheldon Harrison, from Network Support Specialist II for Library, at an annual salary of $55,234, 100-percent time, to Application Support Specialist I, at an annual salary of $55,234, effective 10/1/2021.

Kreg Moiser, from Systems Programmer II, at an annual salary of $65,570, 100-percent time, to Application Support Specialist IV, at an annual salary of $65,570, effective 10/1/2021.

Robert Saunders, from Technical Support Specialist II for Library, at an annual salary of $44,326, 100-percent time, to Application Support Specialist I, at an annual salary of $44,326, effective 10/1/2021.

PAYROLL

Renea McDaniel, from Payroll Manager for the Controller's Office, at an annual salary of $64,821, 100-percent time, to Payroll Manager, at an annual salary of $68,062, 100-percent time, effective 11/1/2021.

PROCUREMENT AND BUSINESS SERVICES

Kathy Durrett, from Buyer for Procurement and Property Services, at an annual salary of $36,813, 100-percent time, to Contracting Specialist I, at annual salary of $38,400 for 100-percent time, effective 11/1/2021.

Brittney Goad, from Accounts Payable Manager for Controller's Office, at an annual salary of $62,000, 100-percent time, to Disbursements Manager, at annual salary of $65,100 for 100-percent time, effective 11/1/2021.

Kimberly Jones, from Contracting Specialist II for Procurement and Property Services, at an annual salary of $45,980, 100-percent time, to Purchasing Manager, at annual salary of $60,000 for 100-percent time, effective 11/1/2021.

LaDonna O'Hara, from Buyer for Procurement and Property Services, at an annual salary of $37,000, 100-percent time, to Contracting Specialist I, at annual salary of $38,400 for 100-percent time, effective 11/1/2021.

Teresa Rhodes, from Contracting Specialist for Procurement and Property Services, at an annual salary of $38,400, 100-percent time, to Contracting Specialist I, at annual salary of $38,400 for 100-percent time, effective 11/1/2021.

Jennifer McCall Wesoloski, from Associate Director of Procurement and Property Services, at an annual salary of $90,000, 100-percent time, to Director, at annual salary of $110,000 for 100-percent time, effective 11/1/2021.

RESIDENCE LIFE

Carl Mackey, from Area Coordinator at an annual salary of $45,000, 100-percent time, to Director at an annual salary of $62,000, 100-percent time effective 1/1/2022.

SAFETY AND RISK MANAGEMENT

Erik Santes Zepeta, from Human Resources Representative, at an annual salary of $41,000 to Safety Officer, at an annual salary of $49,500, 100-percent time, effective 11/1/2021.

TREASURY AND STUDENT BUSINESS SERVICES

Michelle Brazeil, from Assistant Bursar with the Controller's Office, at an annual salary of $62,000, 100-percent time, to Assistant Director of Student Business Services an annual salary of $62,000, effective 8/9/2021.

Amy Mooneyham, from Assistant Bursar with the Controller's Office, at an annual salary of $62,000, 100-percent time, to Assistant Director of Student Business Services an annual salary of $62,000, effective 8/9/2021.

Hillary Parrish, from Assistant Director for Physical Plant, at an annual salary of $70,300, 100-percent time, to Treasury Analyst, at an annual salary of $70,300, effective 11/1/2021.

TITLE IX COMPLIANCE

Melissa Turner, from Compliance Specialist at an annual salary of $59,410, 100-percent time, to Assistant Director, Dep Coordinator at an annual salary of $60,000, 100-percent time effective 9/1/2021. From Assistant Director, Dep Coordinator at an annual salary of $60,000, 100-percent time to Director, at an annual salary of $70,300, 100-percent time, effective 11/1/2021.

UNIVERSITY HEALTH SERVICES

Marsha Shoemaker, from Insurance Specialist at an annual salary of $39,208, 100-percent time, to Interim Office Manager, at an annual salary of $39,208, 100-percent time, with a $1,500 monthly stipend for 3-months, effective 9/1/2021, to Director of Operations, at an annual salary of $62,000, effective 12/1/2021.

UNIVERSITY MARKETING COMMUNICATIONS

Dixon Cartwright, from Marketing Communications Coordinator at an annual salary of $57,392, 100-percent time, to Marketing Communication Coordinator-Media at an annual salary of $60,261, 100-percent time effective 11/1/2021.

FACULTY

RUSCHE COLLEGE OF BUSINESS

Todd Brown, from Associate Dean at an annual salary of $179,188, 100-percent time, to Professor of Economics and Finance at an academic salary of $140,000, 100-percent time, effective 1/1/2022.

Jason Reese, from Associate Professor and Assistant Chair of Management, Marketing and International Business at an academic salary of $106,253, 100-percent time, to Associate Dean at an annual salary of $160,000, 100-percent time, effective 1/1/2022.

COLLEGE OF SCIENCES AND MATHEMATICS

Kevin Langford, from Associate Professor of Biology at an academic salary of $56,336, 100-percent time, to Interim Chair of Biology at an academic salary of $56,336, 100-percent time, with a $1,000 stipend for 12-months, effective 9/1/2021.

Matthew Beauregard, from Professor of Mathematics and Statistics at an academic salary of $78,424, 100-percent time, to Interim Chair of Computer Science at an academic salary of $78,424, 100-percent time, with a $500 stipend for 12-months, effective 9/1/2021 and Interim Chair of Physics, Engineering and Astronomy at an academic salary of $78,424, 100-percent time, with a $1,000 stipend for 12-months, effective 9/1/2021.

RETIREMENTS

Explanation:

Retirements include the listing of personnel that have selected to retire from SFA.

Recommendation:

It is recommended by the administration that the following retirements be approved as presented.

FINANCIAL AID
Valerie Harrell, Assistant Director, 30 years of service to SFA, effective 12/31/2021.

SAFETY AND RISK MANAGEMENT
Sonja Hendry, Safety Officer, 17 years of service to SFA, effective 12/31/2021.

INFORMATION TECHNOLOGY SERVICES
Stephen Watson, Assistant Director, 27 years of service to SFA, effective 12/31/2021.

RESIDENCE LIFE
Winston Baker, Director, 13 years of service to SFA, effective 1/3/2022.

Building and Grounds Committee

BUILDING AND GROUNDS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Building and Grounds Committee will consider: use and occupancy of university property; and planning of, locating of, receiving bids for, awarding contracts for, construction of, and maintenance of buildings, utilities, and other physical facilities of the campus.

The following policies are necessary to incorporate organizational, job title, and regulatory changes and to improve the flow of information in the above areas of responsibility. The general counsel has reviewed the proposed revisions.

Recommendation:

The administration recommends that the Board of Regents adopt the following policies revisions as presented:

Class Meeting Times 4.12*
Course Scheduling 4.13
Smoking, Vaping and Use of Tobacco Products 13.21
Student Center Operations 16.26
Telecommunication Services 16.28
Work Requests 16.37

*Note: Change includes a change in the policy name and being combined with policy 4.13.

4.12 - Course Scheduling and Room Assignment

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Class Meeting Times

Policy Number: 4.12

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

Date of last revision, if applicable: 7/23/2019

Unit(s) Responsible for Policy Implementation: VPAA

Purpose of Policy (what does it do): Relates to classes, their meeting times, and terms.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The committee worked to combine policy 4.12 with policy 4.13 to reduce repeated information in the two policies. Clarification is given to help with scheduling. Tables were taken out of these policies and are relocated to the Provost's website.

Specific rationale for deletion of policy: This policy need not stand alone for it is inextricably connected to the information in policy 4.13; this policy 4.12 should be combined with 4.13.

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
Damon Derrick, General Counsel

~~Class Meeting Times~~*Course Scheduling and Room Assignment*

Original Implementation: Unpublished
Last Revision: ~~July 23, 2019~~*February 1, 2022*

All space on campus belongs to the university and is subject to assignment and reassignment by the president. Academic space is considered educational and general (E&G) space, which is used for academic instruction and research that supports the university's mission. It does not include auxiliary enterprise space, space that is permanently unassigned, or space used for operations independent of the university's mission. In consultation with both the Registrar's Office and the colleges, the Associate Provost manages scheduling, E&G space, and room assignments for academic space as the Provost's designee. The Office of Institutional Effectiveness (OIE) coordinates scheduling procedures and the assignment of classrooms and select laboratories in a manner that best serves university needs. As a general rule, academic units will adhere to the following considerations when developing course schedules:

Academic Space

The primary E&G spaces for academic instruction are:

> ***Classroom (Type 110):*** *A classroom is used primarily for regularly-scheduled instruction and is not tied to a specific subject or discipline by equipment in the room or configuration of the space (Texas Higher Education Coordinating Board [THECB], Reporting and Procedures Manual, Appendix F, Space Use Codes).*
>
> ***Class Laboratory (Type 210):*** *A class laboratory is used primarily by regularly-scheduled instruction that requires special purpose equipment for student participation, experimentation, observation, or practice in a field of study. Class laboratories may be referred to as teaching laboratories, instructional shops, computer laboratories, drafting rooms, band rooms, choral rooms, or group studios. Laboratories that serve as individual or independent study rooms are not included (THECB, Reporting and Procedures Manual, Appendix F, Space Use Codes).*

All traditionally delivered instruction must take place in Type 110 and 210 rooms. Requests to schedule classes in other room types must be accompanied by a justification and forwarded to the ~~a~~Associate ~~p~~Provost. Teaching space is assigned based on student demand, academic requirements, and efficient utilization of the room.

Academic Scheduling: *Academic scheduling is managed to maximize students' ability to make timely progress toward their degree. The academic schedule determines how efficiently E&G space is used. Space utilization efficiency (SUE) data is used in calculations that determine the university's state allocation of operations and maintenance funding for existing buildings and is factored into new construction requests associated with ~~tuition revenue bonds~~capital construction assistance projects.*

Course Offering Analysis Recommendations: *Course offering analysis supports course scheduling and student success. Such analysis provides recommendations on the courses students need to fulfill degree requirements, the number of sections needed, and the number of seats per section. Course offering analysis for summer and fall terms is conducted after spring term census, and the spring terms analysis is conducted after fall term census. The course offering analysis considers all currently enrolled students' programs of study, student academic history, historic enrollment data from five previous like terms, and projected freshman class, transfer students, and new graduate student enrollment.*

Seat Fill Ratio: *The seat fill ratio is a key component of SUE calculations and is determined by dividing the section enrollment by the seats in a room. Room assignments will consider pedagogy and best-fit ratios between section size and maximum room capacity with a goal of meeting THECB seat fill ratios. THECB seat fill ratios recommend each classroom to fill to at least 65% of capacity and each class laboratory to at least 75% of capacity. A section cannot exceed the maximum capacity of the room; this includes online synchronous and hybrid sections (e.g., Zoom).*

Room Utilization*: Utilization refers to the hours per week that a room is used and is another key component of SUE calculations. THECB guidelines stipulate that a classroom should be in service 38.0 hours per week (HPW) and class laboratories 25.0 HPW for full utilization credit. Academic departments should strive to meet THECB room utilization requirements.*

Room Assignment Priority: *In determining the priority of room assignments, a comprehensive review will be conducted based on faculty proximity, adherence to standardized meeting patterns, the percentage of the academic unit's class offerings during prime time (8:00 a.m. to 2:00 p.m.), pedagogy, faculty preference, and room utilization factors (seat fill ratio and room utilization).*

Specific Classroom Assignments Based on Exceptional Needs: *Exceptional needs should be given priority when assigning rooms. Examples of exceptional needs include instructor accessibility and accommodation under the Americans with Disabilities Act, non-portable specialized teaching aids, or materials not available in another room.*

Multiple Course Section Meeting Times: *Academic units teaching multiple sections of the same course will provide a diverse offering of section meeting times between 8:00 a.m. and 2:00 p.m., Monday through Friday, to reduce schedule conflicts and ensure classrooms are in near continuous use throughout the week.*

Hybrid (with Face-to-Face component) and Hyflex Sections: *Sections that are offered in hybrid (with a face-to-face component) and hyflex modalities are required to schedule a classroom or laboratory as appropriate and must follow standard meeting patterns.*

Full Fall and Spring Term Standardized Meeting Patterns

Academic sections with a synchronous delivery component offered during full length terms must use the defined standard meeting patterns for all classes. The standard meeting patterns are located on the Academic Affairs Web Page. Courses that offer other than three-semester credit hours must align section start times with the university's standard meeting patterns.

Day Classes
Course sections starting between 7:00 a.m. and 3:30 p.m. offered on the main campus of Stephen F. Austin State University on a Monday, Wednesday, and/or Friday schedule must abide by the following guidelines:

- *Lecture classes that have start times between 7:00 a.m. and 12:00 noon (inclusive) begin on the hour;*
- *Lecture classes that run for more than 50 minutes cannot begin before 11:00 a.m.;*
- *Lecture classes that run for more than 75 minutes cannot begin before 1:00 p.m.;*
- *1000 and 2000-level non-lecture classes that meet one or more days per week for extended periods of time must start on the hour and no single section class of this type can have a start time before 1:00 p.m.*

Classes offered on Tuesday and/or Thursday schedule must abide by the following guidelines:

- *Lecture classes begin at 8:00 a.m., 9:30 a.m., or 11:00 a.m.;*
- *Lecture classes that run for more than 75 minutes cannot begin before 12:30 p.m.;*
- *Non-lecture classes that meet one or more days per week for extended periods of time must start at 12:30 p.m., 2:00 p.m. or 3:30 p.m. No single section class of this type can have a start time before 12:30 p.m.*

Evening Classes *(Courses offered on the main campus of SFA that start at or after 4:00 p.m.) Academic units should coordinate the scheduling of evening classes to allow students to take two classes on the same night.*

- *Three-hour lecture classes that meet one night per week are scheduled at 4:00 p.m. - 6:30 p.m. and/or 6:45 p.m. - 9:15 p.m.;*
- *One and two-hour lecture classes that meet one night per week should align start times with the standard meeting patterns on the Academic Affairs Webpage*

Other Terms

Courses offered in Fall I, Fall II, Spring I, Spring II, Maymester, and Summer terms must adhere to the standard meeting patterns on the Academic Affairs webpage.

Exemptions

Courses exempt from standard class meeting patterns are:

(1) specialized programs (e.g., non-university credit training sessions, workshops, conference courses, stand-alone certificate programs that are not part of a degree program, grant-related courses, and off-campus courses) that do not conflict with the use of campus space;
(2) distance learning courses;
(3) 5000 and 6000-level lecture courses that begin at 4:00 p.m. or later;
(4) 3000, 4000, 5000, and 6000-level non-lecture classes;

(5) non-lecture evening classes; and,
(6) classes meeting at remote locations.

Variations to this policy must be approved in writing by the requesting academic unit's dean and the provost and executive vice president for academic affairs.

~~This policy governs class scheduling for all academic sessions. Standard scheduling times for classes (course sections) provide students with maximum scheduling flexibility, allow academic units to meet unique needs, and efficiently utilize instructional space. Courses exempt from standard class meeting times are:~~

~~(1) specialized programs (e.g., non-university credit training sessions, workshops, conference courses, certificate programs, grant-related courses, and off-campus courses) that do not conflict with the use of campus space;~~
~~(2) distance learning courses;~~
~~(3) 500 and 600-level courses that begin at 4:00 p.m. or later;~~
~~(4) 300 and 400-level non-lecture classes;~~
~~(5) non-lecture evening classes; and~~
~~(6) classes meeting at remote locations.~~

~~Variations to this policy must be approved in writing by the requesting academic unit's dean and the provost and vice president for academic affairs.~~

~~Fall and Spring Terms~~

~~Day Classes~~

~~Course sections starting between 7:00 a.m. and 3:30 p.m. offered on the main campus of Stephen F. Austin State University (SFA) on a Monday, Wednesday, and/or Friday schedule must abide by the following guidelines:~~

- ~~Lecture classes that have start times between 7:00 a.m. and 12:00 noon (inclusive) begin on the hour and have a 50-minute maximum meeting time each day.~~

- ~~Lecture classes that run for more than 50 minutes cannot begin before 1:00 p.m.~~

- ~~100 and 200-level non-lecture classes that meet one or more days per week for extended periods of time must start on the hour and no single section class of this type can have a start time before 1:00 p.m.~~

~~Classes offered on Tuesday and/or Thursday schedule must abide by the following guidelines:~~

- ~~Lecture classes begin at 8:00 a.m., 9:30 a.m., or 11:00 a.m. and have a 75-minute maximum meeting time each day.~~

- ~~Lecture classes that run for more than 75 minutes cannot begin before 12:30 p.m.~~

- ~~Non-lecture classes that meet one or more days per week for extended periods of time must start at 12:30 p.m., 2:00 p.m. or 3:30 p.m. No single section class of this type can have a start time before 12:30 p.m.~~

~~**Evening Classes** (Courses offered on the main campus of SFA that start at or after 4:00 p.m.)~~

~~Academic units should coordinate the scheduling of evening classes to allow students to take two classes on the same night.~~

- ~~Three-hour lecture classes that meet one night per week are scheduled at 4:00 p.m. – 6:30 p.m. and/or 6:45 p.m. – 9:15 p.m.~~
- ~~One and two-hour lecture classes that meet one night per week cannot overlap with class sessions in Table 1.~~

~~**Maymester:** Each three-credit hour class meets for three hours and 15 minutes each day for 11 days, Monday through Friday plus the final examination (see Table 2).~~

~~**Summer Terms:** Each three-credit hour class meets for one hour and 55 minutes each day, Monday through Thursday for 5 weeks plus the final examination (see Table 3).~~

~~**Table 1. Standard Day Meeting Times Fall and Spring Terms**~~	
~~MWF 07:00 – 07:50 a.m.~~	~~TR 08:00 – 09:15 a.m.~~
~~MWF 08:00 – 08:50 a.m.~~	~~TR 09:30 – 10:45 a.m.~~
~~MWF 09:00 – 09:50 a.m.~~	~~TR 11:00 – 12:15 p.m.~~
~~MWF 10:00 – 10:50 a.m.~~	~~TR 12:30 – 01:45 p.m.~~
~~MWF 11:00 – 11:50 a.m.~~	~~TR 02:00 – 03:15 p.m.~~
~~MWF 12:00 – 12:50 p.m.~~	~~TR 03:30 – 04:45 p.m.~~
~~MWF 01:00 – 01:50 p.m.~~	~~TR 05:00 – 06:15 p.m.~~
~~MWF 02:00 – 02:50 p.m.~~	~~TR 06:30 – 07:45 p.m.~~
~~MWF 03:00 – 03:50 p.m.~~	~~TR 08:00 – 09:15 p.m.~~
~~MWF 04:00 – 04:50 p.m.~~	
~~MWF 05:00 – 05:50 p.m.~~	
~~MWF 06:00 – 06:50 p.m.~~	
~~MWF 07:00 – 07:50 p.m.~~	
~~MWF 08:00 – 08:50 p.m.~~	
~~MW – 01:00 – 02:15 p.m.~~	
~~MW – 02:30 – 03:45 p.m.~~	
~~MW – 04:00 – 05:15 p.m.~~	
~~MW – 05:30 – 06:45 p.m.~~	
~~MW – 07:00 – 08:15 p.m.~~	
~~MW – 08:30 – 09:45 p.m.~~	

~~**Table 2. Standard Meeting Times for Maymester**~~
~~MTWRF 08:00 – 11:15 a.m.~~
~~MTWRF 11:30 – 02:45 p.m.~~
~~MTWRF 03:00 – 06:15 p.m.~~
~~MTWRF 05:00 – 08:15 p.m.~~

~~**Table 3. Standard Meeting Times for Summer**~~
~~MWTR 08:00 – 09:55 a.m.~~
~~MWTR 10:15 – 12:10 p.m.~~
~~MTWR 12:30 – 02:25 p.m.~~
~~MTWR 02:45 – 04:40 p.m.~~
~~MTWR 05:00 – 06:55 p.m.~~
~~MTWR 07:15 – 09:10 p.m.~~

Cross Reference: Credit and Contact Hours (5.4))*; Texas Higher Education Coordinating Board, Reporting and Procedures Manual, Appendix F, Space Use Codes; and Texas Higher Education Board, Overview of Space Usage Efficiency (SUE), May 2009*

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

Contact for Revision: Provost and *Executive* Vice President for Academic Affairs*; Office of Institutional Effectiveness*

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Course Schedules

Policy Number: 4.13

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

Date of last revision, if applicable: 1/31/2017

Unit(s) Responsible for Policy Implementation: VPAA

Purpose of Policy (what does it do): Provide guidance for standardize process to schedule spaces for academic courses.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The committee worked to combine this policy 4.13 with policy 4.12 to reduce repeated information in the two policies.

Specific rationale for deletion of policy: This policy need not stand alone for it is inextricably connected to the information in policy 4.12; this policy 4.13 should be combined with 4.12.

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
Damon Derrick, General Counsel

~~Course Scheduling~~

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

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

> ~~**Classroom (Type 110):** A classroom is used primarily for regularly scheduled instruction classes and is not tied to a specific subject or discipline by equipment in the room or configuration of the space (Texas Higher Education Coordinating Board, *Reporting and Procedures Manual*, Appendix F, Space Use Codes).~~
>
> ~~**Class Laboratory (Type 210):** A class laboratory is used primarily by regularly scheduled classes that require special purpose equipment for student participation, experimentation, observation, or practice in a field of study. Class laboratories may be referred to as teaching laboratories, instructional shops, computer laboratories, drafting rooms, band rooms, choral rooms, or group studios. Laboratories that serve as individual or independent study rooms are not included (Texas Higher Education Coordinating Board, *Reporting and Procedures Manual*, Appendix F, Space Use Codes).~~
>
> ~~**Educational and General Space (E&G space):** Educational and general space is used for academic instruction and research that support the university's mission. It does not include auxiliary enterprise space, space that is permanently unassigned, or space used for operations independent of the university's mission.~~

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

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

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

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

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

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

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

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

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

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

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

~~**Forms:** None~~

~~**Board Committee Assignment**: Building and Grounds~~

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Smoking, Vaping and Use of Tobacco Products

Policy Number: 13.21

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

Date of last revision, if applicable: 1/29/2019

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): States that smoking, vaping and use of tobacco products is prohibited on SFA property.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

No changes.

Reviewers:

Scott Gordon, President
Damon Derrick, General Counsel

Smoking, Vaping and Use of Tobacco Products

Original Implementation: October 22, 1991
Last Revision: ~~January 29, 2019~~*February 1, 2022*

Stephen F. Austin State University is a tobacco and vape free campus. The use of all tobacco and vape products (including but not limited to cigarettes, cigars, pipes, smokeless tobacco, e-cigarettes, vaporizers, vape pens, hookahs, blunts, pipes, snuff, and any other tobacco or vape related product) is prohibited on all property that is owned, leased, occupied, or controlled by Stephen F. Austin State University. Additionally, the sale or free sampling of tobacco or vape products is prohibited on university property. This policy applies to all employees, students, university affiliates, contractors, and visitors.

The university shall offer and promote tobacco prevention and education programming on campus as well as provide applicable resources to help individuals who want to quit using tobacco products.

Cross Reference: Tex. Educ. Code §§ 95.21, 101.41

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Center Operations

Policy Number: 16.26

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

Date of last revision, if applicable: 1/29/2019

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

Purpose of Policy (what does it do): Regulate and designate usage of the student center, including room reservation process, policy and facility usage criteria

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Assessing space use fees for off-campus groups and agencies sponsored by a university department. Revision of the catering policy and exclusivity clause based on change in the university's contracted service provider and of the contract terms.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Carrie Charley, Executive Director, Campus Living, Dining and Auxiliary Enterprises
Andrew Dies, Assistant Vice President/Dean of Students
Brandon Frye, Vice President of Student Affairs
Damon Derrick, General Counsel

Student Center Operations

Original Implementation: 1966
Last Revision: ~~January 29, 2019~~*February 1, 2022*

Purpose

The purpose of the student center is to provide a place that brings together students, faculty, staff, alumni and guests, providing space to build community, support programs, provide services and maintain facilities that promote student ~~learning and development~~*success*.

Specific rules governing the use of the facilities are maintained in the student center administrative offices and may be reviewed upon request.

General Operations

1. Because the student center is intended as a non-academic space, no classes, lectures, laboratories, tests or any type of class for credit shall be scheduled in the student center, except under extenuating circumstances.
2. For any events presented in the student center, it is the responsibility of the sponsoring agency to ensure that the programs, related activities and printed material are accessible to persons with disabilities. The university does not accept responsibility for ensuring that the programs or activities of the group ~~are in compliance~~*comply* with the provisions of the Americans with Disabilities Act. Questions regarding accessibility of facilities for a specific program being held in the student center should be directed to the coordinator *of* ~~*university*~~ *reservations and conferences*.
3. Animals or pets of any kind, excluding service animals, shall not be permitted in the building at any time.
4. Individuals or groups reserving space in the student center shall be responsible for the behavior of their members and guests and also shall be responsible for any damage caused by their guest or members.
5. Failure to comply with the operations policy, procedures or with requests of the persons enforcing this policy may result in suspension of privileges to use the student center and/or lead to action under the university disciplinary code.
6. Disorderly conduct and disturbing the peace shall not be permitted in the student center and may lead to disciplinary action.

Reservations

1. Reservations in the student center ~~(SC)~~ are made through the coordinator of ~~university~~ reservations and conferences.
2. Reservations for the next calendar year begin on the first working day of the new calendar year and assigned on a first-come, first-served basis. Reservation contracts must be confirmed and the reservations document signed or confirmed by e-mail by the reserving person two weeks prior to each event. Unconfirmed reservations after this time will automatically be canceled.

3. The scheduling of activities, facilities or equipment for recognized university clubs and organizations must be made by a group officer or the sponsor of the organization.
4. Failure to use or release a student center facility 48 hours prior to the event may result in the group paying the regular room rates.
5. Groups scheduling activities with an expected attendance of 300 or more are required to confirm the presence of a university police officer at the event. This confirmation must occur no later than 14 days prior to the event.
6. Commercial enterprises are normally not permitted to reserve or use space in the student center for purposes of promotion or selling. The director of the student center may approve a commercial enterprise entering into an agreement with the student center for solicitation within the center, provided the activity has cultural or educational value.
7. Off campus groups or individuals may be required to make a prepayment of three-~~-~~fourths of the expected total bill two weeks before the event.
8. Groups and individuals with outstanding bills or debts owed to the student center may have their reservation privileges in the *student center*~~SC~~ suspended.
9. Only food and beverages prepared by the *university's contracted* ~~student center~~ food service *provider* will be served in the ~~meeting and dining rooms of~~ *Grand Ballroom, Twilight Ballroom, Regent's Suite, President's Suite, First-Ladies Room, Multimedia Room, Tiered Classroom, and the Theater in* the student center. A catering ~~booklet~~ *guide* with menus and student center charges is available in the coordinator *of reservations and conferences* ~~'s~~ office and on the catering website. *Outside food and beverages up to $150, on a per order basis, are permitted in small meeting rooms, individual offices and office suites.*

~~9.~~*10. The furnishing or sale of alcoholic beverages in the student center is restricted solely to the university's contracted food service provider and upon proper university authorization. No individuals, groups, or associations other the u~~U~~niversity's contracted food service provider may furnish or sell alcoholic beverages on the premises of the student center for consumption by any person.*

~~10.~~*11.*Only registered university organizations may reserve tables adjacent to the lounge areas in the student center.

~~11.~~*12.*Events that will continue after 9 p.m. must be scheduled at least two (2) weeks prior to the event.

~~12.~~*13.*Use of university facilities or services is subject to be changed or canceled based upon priority needs of the university, as determined by the director of the student center.

Facility Usage by Approved Student Organizations and University Departments

1. Approved student organizations and university departments will be ~~-~~permitted to use student center facilities for non-catered events *at no cost for room rental*~~at no charge~~. *Additional costs for technology, lighting, or furnishings may be applied based on event and group needs.*
2. Registered student organizations will be allowed to reserve up to two (2) hours per week for recurring meetings. No recurring meetings may be scheduled during university holiday periods unless approved by the coordinator *of reservations and conferences*. Series meetings ~~are~~ *may be* scheduled, ~~-~~*but* ~~In~~ *in* order to make space available to as many groups as possible, series reservations will be canceled if two weekly series meetings are missed.

3. An activity scheduled to continue past midnight must be supervised by a*n* university police officer(s). A fee will be assessed for *any university police department*~~UPD~~ service in addition to ~~the SC~~*a student center* late charge.

Facility Usage by Off-Campus Groups

1. Off-campus groups that are sponsored by a university department may use ~~the~~ student center facilities- *at a discounted rate to be determined based on space and event needs, not to exceed 50% of listed room rates and fees for event support.*~~without room charges.~~
2. Off-campus groups without a university department sponsor shall be permitted to use the facilities of the student center subject to *availability,* guidelines, and charges.

Solicitation

1. Selling, canvassing, petitioning, fund raising, surveying and membership drives by approved student organizations will be permitted in the student center after registration with the director of the student center. University departments, faculty and staff organizations, the alumni association, and other organizations and entities officially associated with the university must seek approval from the director of the student center. Reservations for tables and space in the student center must then be made with the coordinator *of* ~~university *university*~~ *reservations and conferences*.
2. No group, except for university departments and the alumni association with approval, shall act as an agent for a commercial company.
3. Fund raising or charitable solicitation and the sale of products or services by community organizations or businesses are prohibited in the student center. This regulation shall not apply to university functions as defined in the university solicitation policy.
4. ~~Solicitation for newspaper delivery may be conducted in the student center on days designated by the director of the student center in areas assigned by the coordinator. All newspaper solicitors will have equal space.~~
5.*4.*~~Commercial cable service providers under contract with Stephen F. Austin State University may conduct solicitation in the student center on days designated by the director of the student center in areas assigned by the student center coordinator~~ *of reservations.*

Charges

The price list for student center services is available from the coordinator *of* ~~*university*~~ *reservations and conferences* and online on the ~~SC~~ *student center* website.

Cross References: Alcohol Service (13.7); Illicit Drugs and Alcohol Abuse (13.11); Use of University Facilities (16.33)

Responsible for Implementation: Vice President *of*~~for~~ ~~University~~ *Student* Affairs

Contact for Revision: ~~Director of Student Services~~*Executive Director of Campus Living, Dining and Auxiliary Enterprises, /*Director of *the* Student Center

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Telecommunication Services

Policy Number: 16.28

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

Date of last revision, if applicable: 1/29/2019

Unit(s) Responsible for Policy Implementation: Chief Information Officer

Purpose of Policy (what does it do): Define responsibilities for telecommunication services consist of the installation, maintenance, and operation of the university-owned telephone switch, connective infrastructure, associated services, cellular services.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Removed section pertinaining to long distance codes as long distance codes are no longer utilized. Revisions to reflect changes in billing method for telecommunication services.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Anthony Espinoza, Chief Information Officer
Damon Derrick, General Counsel

Telecommunication Services

Original Implementation: December 8, 1987
Last Revision: ~~January 29, 2019~~*February 1, 2022*

Information Technology Services (ITS) is responsible for the administration of Stephen F. Austin State University (SFA) communication services, including telecommunication services. Telecommunication services consist of the installation, maintenance, and operation of the university-owned telephone switch, connective infrastructure, associated services, cellular services (policy 3.6), and all outside telephone lines connecting to university locations and billing.

Telephone Usage

All telephone services exist primarily for the transaction of official university business (except for residence hall telephones). Personal local calls may be made but should be minimized. Personal toll calls must be charged to home telephones, personal telephone calling cards, or reimbursed to the unit. Reimbursements for personal calls on a university telephone should be coordinated with the department head (or account custodian). It is the responsibility of the department head (or account custodian) to review all telephone bills to ensure compliance with the usage policy.

All charges for telephone services, ~~including campus telephone lines,~~ toll-free numbers, ~~toll calls (long distance access codes),~~ and cellular telephones remain the responsibility of the unit head (or account custodian) until written notification is received by ITS for their discontinuance.

Equipment Maintenance

Requests for installation, relocation, alteration, or repair of telephone equipment should be submitted to the ITS Help Desk. A work order will be issued, and upon completion, the appropriate account may be charged.

~~LONG DISTANCE ACCESS CODE~~

~~Requests for long distance access codes should be submitted by the unit head (or account custodian) to ITS. The request should include the individual's name, campus ID number, and account number. Requests for multiple long distance access codes (for charging to more than one account number) may be included in a single memorandum. However, full information must be provided for each access code requested.~~

Toll-Free Telephone Numbers

Requests for toll-free telephone numbers should be submitted by the unit head (or account custodian) to ITS. The memorandum must include the purpose of the toll-free service, account number, existing telephone number where the toll-free number will ring, directory listing information (if appropriate), and name and telephone number of a contact person. Discontinuance of the toll-free service or changes to the ring extension require a memorandum from the unit head (or account custodian) to ITS.

Cross Reference: Cellular Telephones and Wireless Communication Devices (3.6)

Responsible for Implementation: President

Contact for Revision: Chief Information Officer

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Work Requests

Policy Number: 16.37

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

Date of last revision, if applicable: 1/29/2019

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

Purpose of Policy (what does it do): This policy outlines the responsibilities of the Physical Plant Department in regards to routine maintenance and emergency situations. It also describes the methods to request service for routine and emergency maintenance or for space modifications.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Minor changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
John Branch, Interim Director of the Physical Plant
Damon Derrick, General Counsel

Work Requests

Original Implementation: December 7, 1987
Last Revision: ~~January 29, 2019~~ *February 1, 2022*

Purpose

This policy outlines the responsibilities of the Physical Plant Department in regards to routine maintenance and emergency situations. It also describes the methods to request service for routine and emergency maintenance or for space modifications.

Definitions

Routine maintenance includes expenditures made for the normal upkeep of physical properties (i.e. land, buildings, and equipment) including recurring, preventive and on-going maintenance necessary to delay or prevent the failure of critical and non-critical building systems and excludes work that requires emergency attention, alters the structure, or supports an event.

Emergency maintenance requires immediate action to prevent endangerment of life and/or property damage in the opinion of the requestor.

Alterations to a structure is work that involves modifying space (i.e. moving walls, renovation) and must be submitted through the SFA space modification process and is not typically considered part of routine maintenance.

General

The Physical Plant Department (PPD) is responsible for maintaining all Education & General (E&G) space at the university. In addition, the PPD may perform work for auxiliary departments upon request or where service efficiency or practicality dictates. Work for auxiliary departments is billed accordingly through the SFA inter-department transfer (IDT) process.

Work performed by the PPD includes mechanical maintenance (electrical, electronics, HVAC, plumbing); building trades (carpentry, painting, graphics, locksmith); custodial services; special services (waste management, move/event services); transportation services (auto repair and rental); grounds maintenance; and special and capital construction project management.

All work requested through the PPD must be submitted through the SFA computerized maintenance management system (CMMS). Assistance in completing a *work* request is available by calling the PPD.

Any work requests to modify indoor or outdoor institutional property or estimates for work subject to space modification and design falling under the following categories are required to be submitted for vice president approval through the space modification committee: finishes; building structural change; building system change; space function change; new space request; technology, furniture and equipment that is attached to the building.

The PPD will assess charges as appropriate for services rendered outside of routine maintenance.

Routine Maintenance

The PPD performs routine maintenance based on importance, priority and available manpower. Examples of routine maintenance include temperature control, minor plumbing or custodial problems, minor electrical problems, pest control, etc. Requests of this nature should be submitted through the CMMS.

Any work requested beyond the scope of routine building maintenance requires authorization from a designated official of the requesting department and will be billed accordingly through the IDT process.

Emergencies

Emergency work requests, should be reported immediately, as follows:

- During normal working hours (Monday – Friday, 7:00 a.m. through 4:00 p.m.): contact PPD.
- During evenings, weekends, holidays, shut-down periods: contact University Police Department.

Cross Reference: Physical Plant Charges (16.20), Space Assignment, Management and Planning (16.3)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Physical Plant

Forms: None

Board Committee Assignment: Building and Grounds

RESCIND BOARD ORDER 22-06 RFQ for Master Plan

Explanation:

At the October 2021 meeting, the Board of Regents approved the issuance of a Request for Qualifications (RFQ) for a firm to update the current master plan (Board Order 22-06). After further consideration, the administration recommends the Board rescind that order to instead allow the President's university Master Planning Committee (MPC) to evaluate the current campus related documents including the most recent master plan, the 2018 Campus Space Utilization Strategy study, and the 2018 Athletics Facility Assessment. The President will monitor the activity of the MPC and evaluate whether to recommend to the Board that the university engage the services of an architectural firm to update the master plan.

Recommendation:

The administration recommends the board rescind Board Order 22-06 to issue a Request for Qualifications for a firm to update the current master plan.

PROPOSAL FOR CAPITAL IMPROVEMENTS PLAN

Explanation:

In July 2019 in Board Order 19-59, the Board of Regents approved firms for Indefinite Delivery/Indefinite Quantity (IDIQ) Architect and Engineering Services Contracts. The University needs a capital improvements plan that maximizes the combined use of the following funds:

- From the Series 2019A Revenue Bonds totaling $94,290,000, the portion allocated to student residential housing of $23,575,000 less expenditures of $1,090,308.67 for a remaining total of $22,484,691.33;
- From the Series 2019B Taxable Revenue Bonds totaling $15,925,000, allocated to a dining facility less expenditures of $194,444.05, for a remaining total of $15,730,555.95;
- From the 2021 Capital Construction Assistance Project funds a total of $44,922,833;
- Higher Education Assistance Funds;
- Outside vendor contributions; and
- private donations.

The administration is requesting authorization to contract with Kirksey Architects, Inc. for an amount not to exceed $200,000 for a capital improvements plan. Kirksey Architects, Inc. will conduct a focused study that will gather and review relevant data, including but not limited to:

- the applicability of the various sources of funds, including costs of funds and constraints on expenditures;
- the capital improvement needs of campus programs and departments; and
- the operating and maintenance conditions of various buildings on campus, including residential and dining facilities.

The vendor will provide recommendations in the capital improvements plan to the administration and Board of Regents Building and Grounds Committee on how best to allocate available funds in order to maximize return on investment, and thus provide the optimal financial investments in capital improvements for the continued growth and prosperity of SFA.

Recommendation:

The administration requests approval to enter into a contract with Kirksey Architects, Inc. for a capital improvements plan.

Kirksey ARCHITECTURE

scope of services

1 GENERAL

The specific Basic Services to be provided by the Architect, and the initial assumptions made with respect to the provision of such services, are described below. Services not identified as Basic Services constitute Additional Services for which additional compensation may be due.

2 INITIAL ASSUMPTIONS

Kirksey will provide the necessary leadership and guidance to the SFA administrative planning committee on how best to utilize available funds for future capital construction projects and include the assistance of three key consultants in regards to making the best recommendations to move forward. The approach will be as follows:

- Evaluate each funding source for availability, constraints on expenditures, costs of funds, and expectations or limitations on use of each fund.
- Identify campus programs and departments that:
  - Hold a competitive advantage compared to other Texas public universities and for which SFA is known and recognized regionally and nationally
  - Have demonstrated enrollment resiliency, stability and/or growth
  - Have potential for continued growth and how capital improvements may facilitate growth, both in quality and quantity, and satisfy needed improvements.
- Investigate current revenues and upcoming revenue goals for each program as applicable, and identify various approaches to meet or exceed those goals.
- Review and summarize existing Physical Plant department internal documents on operating and maintenance conditions of each building(s) within those programs or departments, and make improvement recommendations.
- Incorporate campus residential study data and results from Facility Programming and Consulting and coordinate recommendations for targeted improvements.
- Conduct limited or cursory building condition assessments for specific identified programs or departments.
- Develop a solution (including scope synopsis, timeline and budget) for each identified need that may be satisfied by new building, existing building expansion/renovation, infrastructure upgrades, and/or other alternative(s).

The consultants involved in this study include:

- Project Control (Houston office) providing overall coordination and schedule management of the process, budgeting and cost estimating support, and organizing visioning and information gathering sessions from the assigned administration and Board of Regent personnel.

- Project Control will assist in defining and recommending how to allocate available funds for use throughout the campus. See Project Control proposal (attached Appendix A) for specific services being provided.

Kirksey ARCHITECTURE

- Facility Programming and Consulting (San Antonio office) providing coordination and data gathering efforts to identify the current condition and utilization of the campus residential housing stock. This effort will be supported by written architectural and MEP building assessments identifying current conditions and life expectancy of certain existing residential buildings on campus.

- Facility Programming and Consulting will assist in defining and recommending how to allocate available funds for use specifically with residential housing on campus. See Facility Programming and Consulting's proposal (attached Appendix B) for specific services being provided.

- DBR, Inc MEP Engineers (Houston) will assist Kirksey in developing architectural and MEP building assessments to determine the quality of some of the worst performing residential structures on campus, and make recommendations on how to treat these facilities moving forward.

Kirksey will manage and organize the overall process and produce the final report regarding any recommendations.

Kirksey will include SFA campus voices, such as those from the Physical Plant department, Academic leadership positions of departments that may be included in capital spending plans, residence hall directors, maintenance and custodial staff, and other vested parties, so that a variety of opinions are heard and noted.

Kirksey will provide all required graphics and illustrations to support the findings and prepare presentations of the final materials.

3 BASIC SERVICES

The Architect's Basic Services consist of those described herein and include services of the following consultants:

> Project Control (Houston) for budgeting and schedule management services; Facility Programming and Consulting (San Antonio) for Residential programming and utilization study services; DBR, Inc (Houston) for MEP Engineering building assessment services.

The Basic Services to be provided by each consultant, including site visits, shall be as stated in the consultant proposals, if requested.

A final report will be provided summarizing:

- The current state of specifically identified campus program or department facilities juxtaposed against qualified campus program needs.
- A concise description of funding sources and constraints.
- A recommended funds allocation plan to satisfy each program need and maximize the impact of these funds on the future of the university.

Academic and Student Affairs Committee

SHARED GOVERNANCE DOCUMENT

Explanation:

A shared governance document in higher education contains rationale, guidelines, and expectations for the decision-making process among staff, faculty, and the administration. It serves as a useful reference to advance equity, collegiality, transparency, empathy, efficiency of communication, and a spirit of good will among university employees. Because Stephen F. Austin State University does not have such a shared governance document, the staff, faculty and administration collaborated to create one.

Recommendation:

The administration recommends the approval of the shared governance document titled, *Shared Governance Document: December 11*, 2021, effective February 1, 2022.

Shared Governance Document

December 11, 2021

Stephen F. Austin State University
Shared Governance Document[1]

December 11, 2021

Introductory Statement

This document has been jointly developed by faculty, staff, students, and administration at Stephen F. Austin State University and serves as a statement of mutually agreed upon principles regarding university shared governance. All parties are committed to a common vision for the mission of the institution. Further, we recognize that the success of the institution and the morale of the faculty, staff, students, and administration are dependent upon the legitimate involvement and collaboration of these constituencies in the planning and decision-making processes within the University.

Overview

At Stephen F. Austin State University, we define shared governance as a structure and process for partnership, equity, accountability, and ownership in institutional decision-making among staff, faculty, students, and administration. Shared governance acknowledges that practice, policy, rules, regulations, and personalities must weave together to move toward a common goal of advancing our institutional mission. To function effectively, shared governance requires trust, consultation, communication, and respect.

This document serves as a commitment and guide to a unified faculty/staff/students/administration relationship that utilizes our collective experience, expertise, and intelligence to manage our complex interests and common objectives. Furthermore, the document serves as an acknowledgement that shared governance is essential and adds value to our institution. We believe shared governance between the faculty, staff, students, and administration remains the best way to advance our mission and status as a prominent independent regional comprehensive university. This document outlines the collaborative decision-making and shared governance principles and processes upon which we all agree.

We want to be clear on this point: Our faculty, staff, and students play critical roles in the management of Stephen F. Austin State University. This kind of collaborative decision-making is seen frequently in the Faculty Senate (which serves as the legislative and executive agency of the faculty), Staff Council (which advocates for, promotes the interests of, and addresses concerns of the staff), and the Student Government Association (which serves as the voice of the student body), but collaborative decision-making goes much further. Our system of joint leadership and shared governance also includes a wide-ranging matrix of faculty, staff, and student advisory and decision-making bodies that includes college councils, chairperson councils, dean councils, director councils, executive committees, search committees, promotion and tenure committees, strategic planning committees, student organizations, and more.

Definition

Shared governance is the process by which the members of the University community (i.e., staff, faculty, students, and administrators) have the opportunity to influence planning, decisions, policies, and procedures on operational, fiscal, and academic matters, as well as an opportunity to present alternatives on such matters. The objective of shared governance is to foster mutually reinforcing relationships that expand the opportunities for cooperation and leadership while facilitating judicious, yet creative, university governance. The features of shared governance include (but are not limited to) integrating input from all impacted stakeholders, sharing accountability and ownership, listening to all perspectives, and establishing guidelines for how to practice shared governance. The intent of the shared governance process is to balance efficiency and effectiveness with equity and fairness.

Shared governance includes mutual participation in the development of policy and in making decisions in the areas of strategic and budget planning, faculty, staff, and student welfare, selection and retention of academic and administrative officers, campus planning and development, and organizational accountability.

It should be noted that shared governance is not the replacement or elimination of positional leadership and leadership decision-making, nor does it represent a strategy inherently supporting the downsizing of leadership ranks, nor the elimination of reasonable self-governance, nor the abdication of leadership or decision-making responsibilities by those who carry such responsibilities.

In an environment of shared governance, those who will be affected by a decision on policy or procedures should be informed of and have the opportunity to influence governance decisions. A climate of shared governance relies upon consistent and trustworthy communication that is multidirectional and reciprocal. All participants in the shared governance process are accountable for the proper execution of their roles in a timely manner. Shared governance should permeate all levels of decision-making within the university community. Full and active participation at all levels of shared governance should be encouraged without fear of retribution or reprisal. Recommendations made through shared governance processes should be taken seriously and have actual influence in university decision making.

Guidelines

This document outlines shared governance guidelines and is intended to elaborate how faculty, staff, students, and administration address shared governance issues. These guidelines express a mutual desire to work together harmoniously and shall be interpreted to be consistent with all applicable laws, regulations, and policies, as well as the rules and regulations of the Stephen F. Austin State University Board of Regents. These guidelines represent a commitment of the parties, not a legal contract. This document does not supplant the SFA Policy Manual.

Representation

Predicated on a sense of community, all parties involved in shared governance will assume a stance of inclusion rather than exclusion. Involvement should be driven by the nature of the issue at hand, acknowledging that certain functional or governance areas may be of greater concern to a specific group due to occupational importance, experience, or expertise. Representation in shared governance decision-making should be proportional to the level of impact on the affected constituencies. However, efficiency and effectiveness should not be sacrificed for the sake of proportionality. Representation should reflect the diverse nature of the university community. Finally, while representation in the process of shared governance is critical, participants in shared governance are also considerate of the resultant impacts of decisions on those tasked with implementation.

The Faculty Role in Shared Governance

The faculty represents the academic core of Stephen F. Austin State University. The faculty delivers instruction, carries out research, performs service for its profession and the community, and participates in the management of the University through shared governance. In the areas of intellectual development and instruction, the interest of the faculty is primary. The faculty will exercise its role in shared governance through and by service in the Faculty Senate, in the academic colleges and departments, and on university strategic and task force committees. The faculty's involvement in shared governance includes, but is not limited to, the areas of curriculum, subject matter and methods of instruction, university budgeting, research, faculty status, faculty employment and welfare, faculty searches, evaluations, and tenure and promotion standards, and those aspects of student life which relate to the educational process. Faculty responsibilities are outlined in the SFA Policy Manual.

The Staff Role in Shared Governance

The staff are the logistical and operational backbone of Stephen F. Austin State University. The staff provide critical and effective operational, academic, and student support, complement academic programs, and participate in the management of the University through shared governance. The staff will exercise its role in shared governance through and by service on the Staff Council, in their respective departments, and on university committees. The staff's involvement in shared governance includes, but is not limited to, the areas of student affairs, financial services, academic support, university budgeting, information and instructional technology, research, advancement, physical resources, operations and logistics, institutional effectiveness, and staff/service employment and welfare. Staff responsibilities are outlined in the SFA Policy Manual.

The Student Role in Shared Governance

Students are free, individually and collectively, to express their views on issues of institutional policy and on matters of interest to the student body. The University seeks to

ensure that students have appropriate input on the making of significant policy, program, procedure, and budget decisions. The Student Government Association (SGA) serves as the collective voice of the student body. The roles and responsibilities of the Senate are described in detail in the SGA Bylaws. The President of the University, the Vice President of Student Affairs, the Chief Diversity Officer, and the Assistant Vice President of Student Affairs/Dean of Students must maintain a close working relationship with the Student Government officers. Many other recognized student organizations and groups provide valuable advice to the university administration on matters that are of particular interest to their membership or to the student population in general.

The university administration will use both formal and informal means in order to remain aware of the needs and views of the students. The opinions of students are sought, heard, and considered in significant decisions affecting the University.

The Administration Role in Shared Governance

The responsibilities of administrators in shared governance include forming and articulating a vision for the University, providing strategic leadership, and managing resources, finances, external affairs, and operations.

Administrators participate in the shared governance process in a manner designed to foster the smooth, efficient, and effective management of the University, while involving faculty, staff, and students. Administrative responsibilities are outlined in the SFA Policy Manual.

The Board of Regents Role in Shared Governance

The governance of Stephen F. Austin State University is vested by law in the Board of Regents. Within the limits set by the Texas State Constitution and by federal and state laws, the Board of Regents represents the final authority in all matters affecting the institution, and it exercises jurisdiction over the institution's financial, educational, and other policies as well as its relationship with the state and federal government. Board of Regents' responsibilities are outlined in the SFA Policy Manual and the Board of Regents Rules and Regulations.

Desired Shared Governance Goals and Outcomes

The University's published policies and procedures along with federal, state, and accreditor rules and regulations represent the authoritative frameworks within which shared governance operates. When done well, shared governance results in the consultation of all stakeholders, is respectful of stakeholder experience and expertise, and is mindful of the resultant impacts on stakeholders. The spirit of shared governance requires all parties to seek mutually acceptable recommendations. When compromise and concurrence cannot be achieved, rationale for administrative decisions should be provided in written form to the affected parties, who may present a written statement of their

position and/or any objections to the decision as part of the institution's or a sub-unit's record on the issue. However, the spirit of shared governance requires that the administrative rejection of shared governance recommendations remain rare and be taken only for compelling reasons. Once a decision is reached, all parties should be supportive of the implementation process.

Each year in March, the President, Provost, and representatives from the Faculty Senate, the Chairs' Forum, the Staff Council, the Student Government Association, and the Deans' Council shall meet to review and update this document subject to approval by the Board of Regents.

[1] The following resources and documents have been utilized in developing the conceptual ideas, definitions, framework, language, etc.

AAUP Resources on Shared Governance:
https://www.aaup.org/our-programs/shared-governance/resources-governance

AGB Statement on Governance: https://agb.org/wp-content/uploads/2019/01/2017_statement_sharedgovernance.pdf#:~:text=This%20Statement%20on%20Shared%20Governance%2C%20approved%20by%20the,achieve%20and%20support%20healthy%20and%20high-functioning%20shared%20governance.

University of Arizona "Memorandum of Understanding on Shared Governance":
https://facultygovernance.arizona.edu/find-policy/shared-governance-ua

Illinois State University "Policy on Shared Governance":
https://illinoisstate.edu/administration/

University of Washington "Shared Governance at the UW":
https://www.washington.edu/informedchoice/shared-governance/

University of Northern Alabama "Shared Governance Document":
https://www.una.edu/sharedgovernance/sg-document,-2020-21.1-5-21.pdf

University of Louisiana Monroe "Principles of Shared Governance":
https://www.ulm.edu/sharedgovernance/documents/ulm_principles_of_shared_governance.pdf

Cal State-Santa Barbara, "Shared Governance":
https://www.csusb.edu/shared-governance

Chronicle of Higher Education, "Exactly what is 'shared governance'?"
https://www.chronicle.com/article/exactly-what-is-shared-governance/

College and University Business Administrators
https://www.nacubo.org/-/media/Nacubo/Documents/products/CUBAChapterGovernance(1).ashx

ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Academic and Student Affairs Committee will consider: the curricula of the various colleges and departments of the university with any other matters dealing with academic programs and the progress thereof; the research programs within the university and their relationship to all graduate education; student affairs within the university; and personnel matters within the university.

The following policies are necessary to incorporate organizational, job title, and regulatory changes and to improve the flow of information in the above areas of responsibility. The general counsel has reviewed the proposed revisions.

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented:

Affirmative Action 11.1
Curation of Archaeological Collections 5.6
Employee Affirmative Action/Recruitment Plan 11.9
Faculty and Staff Athletic Ticket Purchases 12.8
Faculty Code of Conduct 7.11
Final Examination Scheduling 7.14
Health and Safety 13.10
Mail Services 16.16
Meeting and Conducting Classes 7.18
Return to Work 11.24
Social Media 15.11
Student Medical Appeal 6.24
Student Service Fee Allocations 10.11
Ticket Office Services 16.29

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Affirmative Action

Policy Number: 11.1

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

Date of last revision, if applicable: 1/29/19

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

Purpose of Policy (what does it do): Stephen F. Austin State University is fully committed to the national and state goal of affording equal employment opportunity to all persons without regard to race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
John Wyatt, Interim Director of Human Resources
Damon Derrick, General Council

Affirmative Action

Original Implementation: Unpublished
Last Revision: ~~January 29, 2019~~ *February 1, 2022*

Purpose

Stephen F. Austin State University is fully committed to the national and state goal of affording equal employment opportunity to all persons without regard to race, color, religion, national origin, sex, age, disability, genetic information, citizenship, and veteran status.

Definitions

Affirmative action means that a search for the best qualified applicant was conducted actively among those groups usually discriminated against and that a major effort was made to find the best qualified individual by actively seeking applications from such groups as required by federal regulations.

General

The university's fundamental policy ~~will be~~ *is* to provide *an* equal employment opportunity in all of its operations, ~~and in~~ all areas of employment practices, and to assure that there shall be no discrimination against any employee or applicant for employment on the grounds of race, color, religion, national origin, sex, age, disability, genetic information, citizenship,~~and~~ *or* veteran status. Additionally, discrimination is prohibited on the basis of sexual orientation, gender identity, and gender expression. The university*'s* policy extends to recruiting, hiring, training, compensation, overtime, job classifications, work conditions, promotions, transfers, employee treatment, suspensions, terminations, layoffs, return from layoffs, tuition aid, recreational programs, and all other terms, conditions, and privileges of employment. The following special guidelines apply to university employment practices:

1. Provide equal pay for equal work.
2. Provide hiring standards that do not discriminate on the basis of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, veteran status, sexual orientation, gender identity, or gender expression.
3. In general, an employer may hire the individual best qualified to perform a particular job but must take affirmative action that will open up job opportunities on all levels to women, minorities, disabled individuals, and veterans.
4. Requirements must be job related and qualifications must be the minimum needed for entrance to a given job.
5. Recruiting efforts must reach minority and women applicants.

6. Selections must be made following strict guidelines that prevent discrimination in all phases of the selection process: job analysis, uniform classification, retention and maintenance of applications, interview practices, and notification of results of the selection process. Appointments must be made considering only job-related factors.

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

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

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Curation of Archaeological Collections

Policy Number: 5.6

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

Date of last revision, if applicable: 7/23/2019

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

Purpose of Policy (what does it do): Policy for the Anthropology and Archaeology Lab located here on campus.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Deletion of Revenue Sharing paragraph and addition of information regarding storage of documents.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
Damon Derrick, General Counsel

Curation of Archaeological Collections

Original Implementation: April 20, 2010
Last Revision: ~~July 23, 2019~~*February 1, 2022*

The Anthropology and Archaeology Lab (AAL) is a scientific research facility operated by the Department of Anthropology, Geography, and Sociology. The laboratory is certified by the Texas Historical Commission and is therefore eligible to charge for the curation of held in trust (HIT) archaeological collections, *and also for the storing of documents of Texas state projects where no artifacts were collected*. If accepted for curation, collections remain the property of the state of Texas, but Stephen F. Austin State University (SFA) agrees to care for them as stipulated by Texas Historical Commission guidelines. The AAL shall maintain a Collections Management Policy as defined in Rule 29.9 of the Texas Administrative Code. Collections must be prepared, recorded, and described according to the AAL's Collections Management Policy.

Eligible Collections

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

Curation Fees

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

~~Revenue Sharing~~

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

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

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

Contact for Revision: Chair of the Department of Anthropology, Geography, and Sociology

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Employee Affirmative Action/Recruitment Plan

Policy Number: 11.9

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

Date of last revision, if applicable: 1/29/19

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

Purpose of Policy (what does it do): Stephen F. Austin State University affirms its intention to comply with an affirmative action/recruitment plan developed to assure equal access to employment opportunities.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: No changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
John Wyatt, Interim Director of Human Resources
Damon Derrick, General Counsel

Employee Affirmative Action/Recruitment Plan

Original Implementation: February 3, 2005
Last Revision: ~~January 29, 2019~~ *February 1, 2022*

Purpose

Stephen F. Austin State University affirms its intention to comply with an affirmative action/recruitment plan developed to assure equal access to employment opportunities.

Definitions

Affirmative action means that a search for the best qualified applicant was conducted actively among those groups usually discriminated against and that a major effort was made to find the best qualified individual by actively seeking applications from such groups as required by federal regulations.

General

Equal opportunity is the law of the land. In the public sector of our society this means that all persons, regardless of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, or veteran status shall have equal access to positions in public service limited only by their ability to do the job. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression.

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

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

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

Stephen F. Austin State University affirms that it shall be its public policy not to discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, age, disability, genetic information, citizenship, or veteran status. Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression. Further, the university shall take all necessary steps to ensure the employment

and promotion of otherwise qualified classes who may be underrepresented in the university's workforce.

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

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

Program Responsibilities

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

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

The human resources office should be contacted for specific procedures related to recruitment of faculty and staff.

Program Goal

The program’s goal is to ensure objectivity, consistency, uniformity and job relatedness through design and implementation of appropriate personnel policy and procedural systems that affect the equal employment opportunities of the university's employees and applicants for employment.

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

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Faculty and Staff Athletic Ticket Purchases

Policy Number: 12.8

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

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

Unit(s) Responsible for Policy Implementation: Director of Athletics

Purpose of Policy (what does it do): Allows for discounted ticket prices for university faculty/staff.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ryan Ivey, Director of Athletics
Damon Derrick, General Counsel

Faculty and Staff Athletic Ticket Purchases

Original Implementation: Unpublished
Last Revision: ~~January 29, 2019~~*February 1, 2022*

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

The Department of Intercollegiate Athletics will inform university faculty and staff of the availability of discounted season tickets on at least an annual basis. Faculty/staff season tickets are not honored during post-season play.

Cross Reference: None

Responsible for Implementation: Director of Athletics

Contact for Revision: Director of Athletics

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Faculty Code of Conduct

Policy Number: 7.11

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

Date of last revision, if applicable: 1/29/2019

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

Purpose of Policy (what does it do): Tax-supported colleges and universities must function in accordance with the public trust, and actions by faculty within them must be consistent with the execution of that trust. This policy outlines offenses representing breaches of that trust and violations of the SFASU Faculty Code of Conduct.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Cross Reference policy update and job title updates under Responsible for Implementation and Contact for Revision.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
Damon Derrick, General Counsel

Faculty Code of Conduct

Original Implementation: April 28, 2005
Last Revision: ~~January 29, 2019~~*February 1, 2022*

Tax-supported colleges and universities must function in accordance with the public trust, and actions by faculty within them must be consistent with the execution of that trust. The following offenses represent breaches of that trust and violations of the Stephen F. Austin State University Faculty Code of Conduct:

A. Plagiarism;

B. Forgery or unauthorized alteration or use of university documents, records or identification materials;

C. Knowingly furnishing false information to the university, or failure to acquire and maintain appropriate licensure and certification required for supervision and practice;

D. The use of violent or other forceful methods to obstruct the functions of the university, which include teaching, research, administration, public service, presentations by guest lecturers and speakers, and other authorized activities;

E. Physical abuse of any person on university-owned or controlled property or at university-sponsored or supervised functions, or conduct that threatens or endangers the health or safety of any such person;

F. Executing professional responsibilities related to teaching, research supervision, committee work, and similar faculty responsibilities that involve a student related to the faculty member within the second degree of affinity or third degree of consanguinity as defined in university policy 11.16, Nepotism;

G. Theft of or negligent damage to the university or to the property of a member of the university community or a campus visitor;

H. Unauthorized entry to or use of university facilities or resources;

I. Unlawful manufacture, distribution, dispensing, possession, or use of controlled substances, or any substance the possession or distribution of which is regulated by federal or Texas law, except where the manufacture, distribution, dispensing, possession, or use are in accordance with the laws of each (*s*~~S~~ee Illicit Drugs and Alcohol Abuse ~~(~~*[*13.11*]*~~)~~);

J. Discrimination and/or sexual misconduct as determined under university policy (*s*~~S~~ee Nondiscrimination ~~(~~*[*2.11*]*~~)~~*]*, Sexual Misconduct ~~(~~*[*2.13*]*~~)~~*]*);

K. Lewd, indecent, or obscene conduct or language on university-owned or controlled property or at a university-sponsored or supervised function;

L. Unprofessional conduct; that is, behavior that a reasonable person in a professional setting would find inappropriate, rude, disorderly, or offensive, and that is persistent, destructive and/or intimidating;

M. Violation of other promulgated university policies or rules;

N. Conviction of a criminal or civil offense that reflects negatively upon the university.

Procedures

1. Each faculty member is required to notify his or her immediate supervisor of any felonious criminal conviction no later than five days after such conviction. Additionally, each faculty member is required to notify his or her immediate supervisor of alleged violations of D, E, F, I, J or M no later than five days after any faculty member becomes aware of such alleged violation.

2. Faculty members are required to abide by the terms of this policy as a condition of employment.

3. Alleged violations of the standards established in this policy should immediately be brought to the attention of the academic unit head to whom the individual is responsible. The academic unit head will then immediately notify the dean of the college, if part of a college. The dean of the college, or academic unit head if not part of a college, will inform the provost and *executive* vice president for academic affairs *(EVPAA)* of the alleged violation without delay. The *EVPAA*~~provost and vice president for academic affairs~~ will immediately notify the president and general counsel. The general counsel will determine whether the alleged violation should be investigated pursuant to the Faculty Code of Conduct or other applicable policy. If the investigation is to proceed under the Faculty Code of Conduct, the *EVPAA*~~provost and vice president for academic affairs~~ or his or her designee will immediately investigate the incident and promptly provide a written report to the president which includes the allegation, scope, findings and results of the investigation, and recommendation for action, if any. The president may accept, modify, or reject the report and/or recommendation. The faculty member will be notified in writing of the president's determination and any action to be taken.

4. Violations of the standards established in this policy can result in the assessment of a penalty ranging from an oral reprimand to termination. Tenured and tenure-track faculty members are also subject to standards and procedures in the Tenure policy (7.29).

5. Faculty members may appeal disciplinary action, other than dismissal or non-renewal, taken pursuant to this policy by following the appeal procedure outlined in Faculty Disagreements (7.25). If the president determines that dismissal or non-renewal is appropriate, the procedures

outlined in Termination and Non-Renewal of Contracts Procedural Guarantees in Tenure (7.29) will control.

Cross Reference: Tenure (7.29); Nondiscrimination~~Discrimination Complaints~~ (2.11); Sexual Misconduct (2.13); Property Inventory and Management (17.14); Use of University Facilities (16.33); Illicit Drugs and Alcohol Abuse (13.11); Faculty Disagreements (7.25); Misconduct in Scholarly or Creative Activities (7.19); Misconduct in Federally Funded Research (8.7); Ethics (2.6)

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

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

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Final Examination Scheduling

Policy Number: 7.14

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

Date of last revision, if applicable: 1/29/2019

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

Purpose of Policy (what does it do): To ensure that faculty members hold class during finals week according to the official final exam schedule.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
Damon Derrick, General Counsel

Final Examination Scheduling

Original Implementation: June 16, 1982
Last Revision: ~~January 29, 2019~~*February 1, 2022*

Faculty members will hold class during finals week according to the official final exam schedule. Any exceptions must be approved by the academic unit head prior to the start of the semester.

Class meetings during finals week, for courses taught at times not listed in the final exam schedule, including but not limited to distance education courses, online courses, and evening or weekend courses, should be scheduled in consideration of resource availability.

All final examinations or course activities must be scheduled to conclude by midnight on the last day of the final exam schedule. Exceptions may be made by the appropriate academic dean.

Cross Reference: Faculty Handbook; Dead Week (7.8)

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

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

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Health and Safety

Policy Number: 13.10

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

Date of last revision, if applicable: 1/29/2019

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

Purpose of Policy (what does it do): This policy affirms the university's commitment to protect the health and safety of its employees, students, and the general public, as well as the university's physical and financial assets. This document establishes the authority and responsibility for the proper management of the university's health and safety program, which is achieved through appropriate compliance with university policies, procedures, and applicable laws and regulations. It also intends to create an awareness of and a commitment to an effective safety program among all members of the university community.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Minor changes

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Dr. Jeremy Higgins, Director of Environmental Health, Safety, and Risk Management
Damon Derrick, General Counsel

Health and Safety

Original Implementation: February 11, 1977

Last Revision: ~~January 29, 2019;~~ *February 1, 2022*

Purpose

This policy affirms the university's commitment to protect the health and safety of its employees, students, and the general public, as well as the university's physical and financial assets. This document establishes the authority and responsibility for the proper management of the university's health and safety program, which is achieved through appropriate compliance with university policies, procedures, and applicable laws and regulations. It also intends to create an awareness of and a commitment to an effective safety program among all members of the university community.

Enterprise Risk Guidelines is *are* the primary program document for the university's safety and health program. It is *was* developed by the State Office of Risk Management and provides the direction and basis for developing and implementing a comprehensive *risk management program.*

General

The primary concern of the health and safety program is the safety and well-being of the students, faculty, staff, and visitors. The program is promoted through safety procedures, hazard identification, training, and loss-control measures focused on the reduction of accidents and risk. This policy applies to all university employees, students, university affiliates, visitors, and owned or leased facilities, buildings, or property.

Responsibility and coordination of various aspects of the university's health and safety program is vested in the Environmental Health, Safety, & Risk Management (EHSRM) Department that reports to the vice president for finance and administration of the university. EHSRM will ensure the university is compliant with all applicable federal and state laws and regulations relating to health and safety. The Risk Management for Texas State Agencies *(RMTSA) Enterprise Risk* Guidelines, published by the State Office of Risk Management, is the primary program document for the university's safety and health program. While health and safety compliance rests primarily with EHSRM, it is also the responsibility of all university members to comply with the health and safety policy, procedures, trainings, and inspections.

Responsibilities are assigned to individuals at appropriate levels of authority and expertise as follows:

The responsibility for physical safety, fire and life safety protection and emergency protocols, occupational health and safety, risk management, safety training and inspections, workers'

compensation, acquiring adequate property insurance coverage, environmental safety, hazardous and radioactive materials, asbestos management, laboratory safety, and accident prevention and investigation is assigned to the director of environmental health, safety, and risk management (EHSRM), who reports to the vice president for finance and administration. The director of EHSRM also serves as the official university contact for federal and state agencies regarding environmental and occupational safety and health.

- The responsibility for campus security, emergency procedures, traffic control, criminal investigation, and civil order is assigned to the chief of university police who reports to the vice president for ~~university affairs~~*finance and administration*.
- The responsibility for the maintenance of the health of students is assigned to the ~~*interim*~~ director of university health services, who reports to the vice president for ~~university~~ *student* affairs.

Providing a Safe Workplace

Facilities will be designed in a manner consistent with health and safety regulations and standards of good design. University departments responsible for the design, construction, and/or renovation of facilities shall consult in a timely manner with EHSRM to ensure that there is appropriate health and safety review of facility concepts, designs, fire protections, and plans.

Faculty and staff supervisors, in coordination with EHSRM, shall ensure that personnel receive proper safety training as required by their job task or by result of hazard identification. SFA encourages employees and students to report health and safety hazards to their supervisors or EHSRM. Employees and students shall not be retaliated against in any manner for bona fide reporting of health and safety hazards to SFA.

Faculty and staff supervisors, in coordination with EHSRM, shall ensure that regular, periodic inspections of workplaces are conducted to identify and evaluate workplace hazards and unsafe work practices. Means of correcting discovered hazards and/or protecting individuals shall be determined and implemented appropriately and in a timely manner. Unsafe conditions which cannot be corrected by the supervisor must be reported to department management and EHSRM.

Any individual who becomes aware of a situation immediately dangerous to health or safety shall promptly report the danger to EHSRM and to the faculty, staff, and students who may be affected. The director of EHSRM has the authority to intervene or shut down any university activity considered to present a clear and imminent danger to health or safety. This shall remain in effect until the danger has passed or been mitigated to the extent that the imminent danger no longer exists.

Support

In addition to these specific responsibilities, it shall be the general responsibility of all SFA employees

and students to keep themselves informed of conditions affecting their health and safety; to comply with SFA health and safety policies, programs, procedures, and practices; to participate in training and inspection programs provided by their supervisors and EHSRM; and to adhere to healthy and safe practices in their workplace, classroom, and laboratories.

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

Implementation

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

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

Responsible for Implementation: Vice President of Finance and Administration

Contact for Revision: Director of Environmental Health, Safety, and Risk Management

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Mail Services

Policy Number: 16.16

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

Date of last revision, if applicable: 1/29/2019

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

Purpose of Policy (what does it do): Regulation of mail services (receiving and distribution)

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Carrie Charley, Executive Director, Campus Living, Dining and Auxiliary Enterprises
Brandon Frye, Vice President of Student Affairs
Damon Derrick, General Counsel

Mail Services

Original Implementation: September 1, 1965
Last Revision: ~~January 29, 2019~~*February 1, 2022*

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

The Stephen F. Austin State University Post Office is considered the official receiving point for all mail and packages not requiring SFA inventory tags on behalf of university offices, departments, residence halls and apartments.

University departments and administrative offices will use the SFA Post Office for all postal transactions. Departments will not be permitted to purchase or retain stamps without written permission from the university president. A copy of the written permission will be filed in the SFA Post Office.

All SFA mail is considered delivered when the Nacogdoches Post Office delivers it to the SFA Post Office.

SFA Post Office staff will attempt to deliver incorrectly addressed mail according to USPS requirements. Business mail addressed only to the university will be sent to the Business Office for proper routing.

Post Office box numbers must be used on all correspondence.

All outgoing mail requiring metered postage, or mailed under SFA permit, must be for official university business and have a complete return address with "Stephen F. Austin State University" and the department of origin used within the address. A completed postage IDT card must be attached to the mail to ensure proper accounting of postal charges. Mail (other than bulk rate) must be received in the post office by 4:00 p.m. for dispatch the same day.

Campus mail is defined as mail related to official university business and is delivered to campus boxes without postage. Mail addressed to USPS boxes 4600-4659 and all personal mail requires postage.

All campus mail should be enclosed in a campus mail envelope. If other envelopes are used, they must be marked “Campus Mail” and have a complete return address including the department of origin and the box number.

All residents of university-owned housing are required to have a*n* SFA Post Office box and notify correspondents of the box number.

Retired faculty or staff members are permitted to retain a box at their own expense on a space-available basis.

It is the responsibility of each department to distribute, forward or return mail addressed to personnel within the department.

-*The* SFA Post Office will remain open on U.S. Post Office holidays not observed by the university, unless notification is made in advance, but mail will not be delivered or picked up on that day. Instead it will be delivered or postmarked on the first normal day of business following the holiday.

Cross Reference: None

Responsible for Implementation: Vice President *of*~~for~~ ~~University~~ *Student* Affairs

Contact for Revision: Manager of University Post Office

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

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Meeting and Conducting Classes

Policy Number: 7.18

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

Date of last revision, if applicable: 1/29/2019

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

Purpose of Policy (what does it do): Policy for faculty for the understanding that classes will be held at the assigned time only. Explains procedure for if a class cannot meet at ehe scheduled time.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor changes for clarification.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Executive Vice President for Academic Affairs
Damon Derrick, General Counsel

Meeting and Conducting Classes

Original Implementation: June 16, 1982
Last Revision: ~~January 29, 2019~~*February 1, 2022*

Faculty members will meet their assigned classes at the officially scheduled times and *in the officially identified* places. When a faculty member cannot meet an assigned class, the faculty member will notify the academic unit head prior to the scheduled class meeting, or as soon as possible after the start time of the class, so that a timely announcement can be made to the students. Courses will beconducted in accordance with the descriptions contained in the university's General Bulletin and Graduate Bulletin.

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

Cross Reference: General Bulletin, Graduate Bulletin, Faculty Handbook

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

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

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Return to Work

Policy Number: 11.24

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

Date of last revision, if applicable: 11/15/21

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

Purpose of Policy (what does it do): 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.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Minor changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
John Wyatt, Interim Director of Human Resources
Jeremy Higgins, Director of Environmental Health, Safety, and Risk Management
Damon Derrick, General Counsel

Return to Work

Original Implementation: January 28, 1997
Last Revision: ~~January 29, 2019~~ *February 1, 2022*

Purpose

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

General

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

Each case will be evaluated on an individual basis according to the limitations of each employee as documented by a physician and the job responsibilities of the position. In the event of a worker's compensation injury or illness, the physician's restrictions must be documented and submitted on the Worker's Compensation Work Status Report DWC-073, including a thorough assessment of the employee's ~~specifications~~ *limitations when* considering ~~their official job description~~*modified duty*. A copy of the job description will be provided to the ~~physician~~ *safety officer* and can be obtained from the director of human resources, if requested. Failure to provide the appropriate documentation for *modified* ~~light or medium~~ duty return to work conditions may be grounds, among others, for denial of ~~light or medium~~*modified* duty assignments. ~~Light~~ *Modified* duty, if offered, is limited to a specific time frame and ~~may not exceed 12 weeks before being upgraded to medium work, then on to~~*requires a doctor's release in order to return to* regular *full duty* work. All modified duty or restrictions to the employee's normal job duties as described on the official job description must be approved and accompanied by an Offer of Employment. The Offer of Employment is prepared by the safety officer and presented to the employee by the supervisor or department head. The university will request a release from the employee for direct communication with the physician regarding those matters that directly relate to return to work assessments. The university reserves the right to properly assess and verify the employee's physical capabilities as they relate to the job.

This return to work program shall not be construed as recognition by Stephen F. Austin State University, its management, or its employees that any employee who participates in the program has a disability as defined by the Americans with Disabilities Act Amendments Act (ADAAA) of 2008. If an employee sustains an illness or injury that results in a disability under the ADAAA, it is the employee's responsibility to inform the*ir immediate* supervisor ~~or a person in a responsible management position~~ *as soon as practical* that a disability under the ADAAA exists and that a reasonable accommodation will be necessary to perform the essential functions of the position held. Once the employee has informed the*ir*- supervisor, the human resources director *or their designee* must then be informed. Reasonable accommodations may be granted in conjunction with the physician's assessment of the employee's capabilities as it relates to the job and the needs of the university and as described in the Reasonable Workplace Accommodation for Disabilities policy (11.22).

As each situation arises, the case will be evaluated independently by the supervisor, ~~head of~~ department *head*, 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 *determination of appropriate*~~justifiable~~ accommodations. *The director of h*~~H~~uman resources *or their designee* conveys *what, if any, reasonable* ~~the conditions and requirements of~~ accommodations *will be made*~~granted~~ to the employee *and management*.

Cross Reference: Family and Medical Leave (12.9); Workers Compensation Coverage (12.23); Reasonable Workplace Accommodation for Disabilities (11.22); Americans with Disabilities Act of 1990, 42 U.S.C. § 12101, as amended by the Americans with Disabilities Act Amendments Act of 2008, Pub. L. No. 110-325, 122 Stat. 3553; Family and Medical Leave Act of 1993, 29 U.S.C. §§ 2601-2654

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: Worker's Compensation Work Status Report DWC-073, Offer of Employment (available in**:** Environmental Health, Safety, and Risk Management Department)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Social Media

Policy Number: 15.11

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

Date of last revision, if applicable: 7/27/2021

Unit(s) Responsible for Policy Implementation: Chief Marketing Communications Officer

Purpose of Policy (what does it do): The purpose of the social media policy is to offer guidance to Stephen F. Austin State University employees, organizations and stakeholders in making appropriate decisions with social media management and communication on behalf of the university or for university-affiliated accounts.

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

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

☐ Internal Review ☒ Other, please explain: addition of best practices

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Official social media accounts should create accessible content that follows ADA guidelines and ensures all audience members can experience content as it is intended.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Graham Garner, Chief Marketing Communications Officer
Damon Derrick, General Counsel

Social Media

Original Implementation: July 28, 2015
Last Revision: ~~July 27, 2021~~*February 1, 2022*

Overview
This policy is designed to help Stephen F. Austin State University employees and organizations in making appropriate decisions when creating/managing social media accounts and developing social media initiatives on behalf of the university. It also provides guidelines to advise employees who indicate an institutional affiliation on their personal social media profiles. This document provides general considerations, but it does not provide guidance on planning, content or performance measurements.

Social media is a broad term used to describe internet-based platforms and applications designed for online social interaction. It fosters interaction among individuals who participate in social networking via the use of virtual communities and networks. Any website, online application or platform that enables its users to interact with it and its visitors falls into the definition of social media.

Social media platforms include Facebook, Twitter, Instagram and LinkedIn, among many others. These platforms are an important communication and marketing tool for the university and can provide vital information and engagement opportunities to prospective and current students, alumni and other stakeholders.

Accounts must be owned and maintained by university employees and avoid the use of a personal or person-specific email address. More than one employee must have login information or administrator access to accounts. Account access must be provided to University Marketing Communications with contact information of all university social media account managers. Information must include the existence, creation or deactivation of any and all university-affiliated social media accounts.

Student workers can be helpful content creators, but must not be owners of any official university account.

Terms of use and deletion policy
University-managed online communities are intended to inform users of university-related news and events, and to foster discussion and a sense of community among users. Users may share their opinions and comment freely about the topics the university posts. The university asks that comments are respectful and professional.

Do not delete or hide comments because of disagreement or in reaction to a commenter who reacted negatively.

SFA social pages exist to serve those affiliated with the university. All social media accounts affiliated with the university must adhere to guidelines available in the Identity Standards Manual, developed by the Division of University Marketing Communications. The manual is approved by, and may be modified by, the university president.

Social media communications (messages, etc.) that fall within the Texas State Records Retention Schedule requirements are considered public records and are subject to the Texas State Records Retention Schedule requirements. Social media communications are included in the record series titled "Social Networking Communications" in the SFA Records Retention Schedule.

Suspension of Records Disposition (Legal Holds): A state record may not be destroyed if any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the record is initiated before the expiration of a retention period for the record set by the Texas State Library and Archives Commission, or in the approved records retention schedule of the agency, until the completion of the action and the resolution of all issues that arise from the action, or until the expiration of the retention period, whichever is later (Texas Government Code Section 441.187).

Social media content that is not a duplicate record, transitory, or retained elsewhere must be captured by the administrator and maintained for the full retention period of the appropriate record series. The program area will be responsible for selecting the method of record archiving and purging, subject to the approval of the appropriate records management coordinator.

Expectations and account best practices:

Continually maintain university-affiliated social media accounts and deactivate or delete dormant social media accounts.
Departments, offices and organizations are responsible for creating content and should make posts on a regular basis, which may be multiple times a day, daily, weekly or a few times per month. It is likely that an account that posts less frequently than monthly will be deemed dormant. A minimum of one post per week is advised.

Confidentiality
Confidential information should never be disclosed, unless consent has been given and the information is shared accurately.

Care should be exercised with photographs taken on campus or during official university events when posted in a public domain. Be mindful of what the image(s) might reveal (e.g., in the background). Ensure that anyone prominently featured in the photograph has given their express consent to the photo being posted online. Photographs of minors must have parental/guardian consent.

Authorization and approvals
Obtain permission from both departmental supervisors and University Marketing Communications before making any significant announcement (e.g., campus closure, crisis communication, emergency notifications, etc.) on behalf of the university. Best practice is to wait until an announcement is first shared on the university's main accounts before distributing (sharing) the information.

Follow the university's Identity Standards Manual to ensure university logo usage compliance. Use current logos only.

Employee use of social media
All employees acting within the scope of their employment are expected to adhere to the same standards of conduct online as they would in the workplace. Social media usage is governed by the same policies that govern other electronic communications, as well as applicable state and federal laws, and NCAA rules and regulations. Any content and/or online activity created by a poster or site moderator that violates these laws and regulations is strictly prohibited and will be removed in accordance with this policy.

Professional use of social media
Social media allows university representatives and employees to communicate and network with internal and external audiences. The university recognizes that some employees use various social media platforms as part of their assigned work duties.

While participating in any of the university's social media activities, faculty and staff must be mindful that they are representing the university and must follow appropriate guidelines.

Personal use of social media
The university allows the occasional use of social media channels during the working day, but this must not interfere with job commitments and duties.

When posting in a personal capacity, an individual may still be identified as an employee of the university even if this is not stated on their account, so they should be mindful of their audience and what is being posted in a public domain.

Accessibility:

All SFA-affiliated social media accounts must comply to state and federal accessibility laws and make content accessible to people of all abilities so they have equal opportunity to experience the content as it is intended.

All social media content, including text, images, graphics and videos, must meet current accessibility guidelines. See the state of Texas Rules and Regulations for information on meeting requirements of the Americans with Disabilities Act.

Alternative Text Descriptions for Images
Always provide alternative text descriptions for images and graphics when social media platforms allow for them. Alternative text descriptions should provide a clear and thorough description of an image and include all text used in graphics.

Captioning Videos
Video content must include captions for the benefit of those who are deaf or hard of hearing. Captions can be either closed (where a user can turn them on and off) or open (where the text is embedded into the video and cannot be turned on or off).

Context for Animated GIFs

On platforms that allow for alternative text descriptions on GIFs, provide them in the same manner as for still images.

CamelCase Hashtags
For hashtags that include multiple words, use initial capitalization, also known as CamelCase. Utilizing this technique makes the hashtag easier to read for all users and screen readers. Example: #PurplePride #SpiritFriday (rather than #purplepride #spiritfriday)

Imported Font/Typeface
Text in a font/typeface created outside a social media application is not accessible to people who use screen readers and therefore must not be used.

Security
Employees must familiarize themselves with the terms of use, privacy policy and other policies of social media platforms and networks they use. They must ensure they have protected themselves and colleagues by setting the appropriate levels of security in professional accounts on social media sites and networks. Employees must be up-to-date on all social media and networking trainings. Employees can find required trainings in their mySFA account.

Intellectual property
Use of copyrighted or trademarked material without permission in digital content may be illegal and may expose the university to financial liability. Divisions, offices and departments are responsible for obtaining clearance for use of intellectual property rights (e.g., music and photos). They also are responsible for bearing all costs associated with such clearance of rights, including any costs that may arise if the necessary clearance(s) is/are not obtained, such as legal and settlement costs.

Use good judgment
Employee actions and statements can affect others at the university and the university as a whole. Posts on social media can be replicated quickly, be taken out of context, and will remain public for an indeterminate amount of time.

Assistance
Those who need assistance on a matter related to social media may contact the Division of University Marketing Communications.

Cross Reference: Tex. Gov't Code § 441.187; Identity Standards Manual; Records Retention Schedule

Responsible for Implementation: Chief Marketing Communications Officer

Contact for Revision: Chief Marketing Commutations Officer

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Medical Appeal

Policy Number: 6.24

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

Date of last revision, if applicable: 1/29/2019

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

Purpose of Policy (what does it do): This policy establishes the process of evaluation and resolution of all student medical appeals.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Michaelyn Greene, Director of Treasury and Student Business Services
Mickey Diez, Registrar
Damon Derrick, General Counsel

Student Medical Appeal

Original Implementation: January 29, 2019
Last Revision: *February 1, 2022*~~None~~

Purpose

This policy establishes the process of evaluation and resolution of all student appeals to drop or withdraw from one or more classes due to medical reasons that prevent the student from completing the semester/term.

General

Students wishing to drop or withdraw from one or more classes due to medical reasons that prevent the student from completing the semester/term may submit a medical appeal. ~~Approved medical appeals may be granted for medical conditions that prevent the student from completing the semester/*term.*~~ Medical appeals are not intended to shield a student from unsatisfactory *academic* progress. Medical appeals will be considered by a committee comprised of the registrar *or his/her designee* and other appropriate university officials.

The following rules apply:

1. Medical ~~withdrawal~~ *appeal* requests must be ~~made~~ *submitted* ~~-~~to the Office of the Registrar within six months of the semester*/term* affected by the medical condition.

2. The medical condition must have occurred to the student.

3. Upon receipt of the completed medical appeal, the committee has 30 days to make a decision.

Specific procedures and the appeal form for making an appeal are located at the *Office of the* ~~r~~*R*egistrar~~'s office~~.

Cross Reference: None

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

Contact for Revision: Registrar/*Director of Treasury and Student Business Services*~~Controller~~

Forms: Request for Medical ~~Withdrawal~~ *A*~~a~~*ppeals* ~~*are,*~~ available *through* ~~in~~ the registrar's office

Board Committee Assignment: Academic and Student Affairs Committee

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Service Fee Allocations

Policy Number: 10.11

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

Date of last revision, if applicable: 1/28/2020

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

Purpose of Policy (what does it do): Outlines the process of student service fee allocations and the membership of the student service fee committee

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

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

☐ Internal Review ☒ Other, please explain: Updated to include new allocation process

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Committee membership updated. Fund Management clarification to avoid negative balance and use of unspent funds. Allocations process explained.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Student Affairs Student Policy Review Committee
Andrew Dies, Assistant Vice President of Student Affairs/Dean of Students
Brandon Frye, Vice President of Student Affairs
Damon Derrick, General Counsel

Student Service Fee Allocations

Original Implementation: Unpublished
Last Revision: ~~January 28, 2020~~*January 31~~28~~, 2022*

Student service fees are distributed to various student organizations and student service operations for activities which are separate and apart from the regularly scheduled academic functions of the institution and directly involve or benefit students.

The distribution of student service fees is based on the allocation process utilized by the Student Service Fee Committee (SSFC). This committee is composed of nine members. *The Assistant Vice President of Student Affairs and Dean of Students (AVP/Dean) serves as the chair and is a non-voting member (unless a vote is needed to break a tie).* The~~se include~~ five student members ~~who are~~*must be* enrolled for not less than six semester credit hours *and be in good academic and conduct standing with the University. The student members*~~ and who~~ are appointed by the Student Government Association. *Three students must be from the Student Government Association (SGA) and two must be from outside the SGA.* Three of these students are appointed to serve a two-year term on the committee and two students are appointed to serve a one-year term on the committee. *A student member who withdraws from the institution or otherwise becomes ineligible per this policy must resign from the committee.* The *University* ~~p~~*P*resident appoints four faculty or staff members *(including the AVP/Dean)* to serve on the committee. Each serves a one-year term. Any vacancies in an appoint*ed*~~ive~~ position on the committee shall be filled for the unexpired portion of the term in the same manner as the original appointment. *Committee members will recuse themselves from any vote or discussion involving an organization or office they are directly a member of or directly advise. The SFA Budget Director, or their designee, and the Division of Student Affairs Budget Analyst will both serve in advisory capacities to the SSFC*~~, are~~ *and will not be included in the nine total committee members*~~, and have no~~ *or have voting rights.*

The SSFC may only conduct meetings at which a quorum (the majority of members of the committee) is present. Meetings must be open to the public. The committee must provide notice of the date, hour, place, and subject of the meeting at least 72 hours before the meeting is convened. This notice must be posted on the internet and in the student newspaper if an issue of the newspaper is published between the time of the internet posting and the time of the meeting.

The committee will receive requests from various student service operations (i.e. Student Health Clinic, Intercollegiate Athletics, Marching Band, Fine Arts Programs, etc.) and university-sponsored student organizations (i.e. Student Government Association, Student Activities Association, etc.). The amount to be distributed by the committee is based on an estimate of student service fee revenue for the following academic year. If there is significant variance between the estimated revenue and the actual revenue, the allocation may be adjusted as necessary.

Student Service Fee Request Process

All parties wishing to request allocations from the Student Service Fee Committee must submit the Student Service Fee Allocations Application, including a detailed budget of how the current allocation (if applicable) has been or will be expended. A detailed budget of how the requested allocations will be expended must also be included.

Each requesting party must then present their request to the Student Service Fee Allocations Committee and the Committee will ask any questions they may have.

Requests are evaluated and recommendations are made for allocations to requesting groups for the coming year. The final recommendations made by the committee will be recorded and made public. These recommendations are then submitted to the ~~p~~*P*resident who may accept or modify the committee's decision. If the ~~p~~*P*resident's recommendations are substantially different from that of the committee, the ~~p~~*P*resident will notify the committee and provide an opportunity for the chair of the committee to comment on the committee's recommendations. Upon approval of the Board of Regents, the funds are made available for the coming fiscal year. *The Dean of Students Office will notify the requesting parties of their Board approved allocations after the start of the new fiscal year.*

Fund managers should ensure their Student Service Fee balance never reaches a negative balance. All unexpended funds at the end of the fiscal year will be reallocated back to the fund balance. Expenditures out of the student service fee fund balance are at the discretion of the Vice President of Student Affairs subject to applicable policies and procedures.

All parties receiving Student Service Fee funding must submit the Student Service Fee Assessment Report at the end of each fiscal year in which they are funded.

Cross Reference: Tex. Educ. Code § 54.503

Responsible for Implementation: Vice President *of*~~for~~ ~~University~~ *Student* Affairs

Contact for Revision: *Assistant Vice President of Student Affairs and* Dean of Students~~ Affairs~~

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Ticket Office Services

Policy Number: 16.29

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

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

Unit(s) Responsible for Policy Implementation: Director of Athletics

Purpose of Policy (what does it do): Authorizes Ticket Office to sell tickets on behalf of organizations

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Ryan Ivey, Athletic Director
Damon Derrick, General Counsel

Ticket Office Services

Original Implementation: May 6, 1985
Last Revision: ~~October 29, 2018~~*February 1, 2022*

The services of the SFA Ticket Office (Ticket Office) are primarily for the use of campus organizations and campus departments. Services may be offered to non-university groups if there is a benefit to the university. There may be a fee charged for services provided to non-university groups.

To request use of Ticket Office services, an official representative of the organization, department or group making the request must complete a Consignment Ticket Agreement. The Ticket Office manager will notify this representative if the request is approved and when tickets can be delivered for sale. The request for service must be made at least 24 hours prior to the time sales are requested to begin. Tickets should go on sale no earlier than three (3) weeks prior to an event.

Once tickets are delivered for sale, the number of tickets consigned must be verified and agreed upon by the group representative and the Ticket Office.

For general admission events, tickets must be consecutively numbered. For reserved seat events, tickets must be accompanied by a seating plan (chart). Prices must be printed on the face of the ticket.

The Ticket Office is responsible only for the number and type of tickets it accepts. Deposits will be made into a university account. Final accounting will take place within two (2) working days following the event. Payments for tickets sold for groups without university accounts will be made by university check no earlier than two weeks following the acceptance of the final accounting by an authorized representative of the group. A final Ticket Office statement will be provided to the official representative of the group upon request.

Refunds

The Ticket Office sells tickets on a no refund and no exchange basis unless the event for which the ticket was purchased is cancelled. In the case of a cancellation, refunds processed by the Ticket Office will be only for those tickets originally sold or placed on consignment in other outlets by the Ticket Office. Tickets may not be refunded by consignment outlets.

Cross Reference: None

Responsible for Implementation: ~~Vice President for University Affairs~~*Director of Athletics*

Contact for Revision: ~~Director of Student Services/Director of Student Center~~*Ticket Office Manager*

Forms: Consignment Ticket Agreement

Board Committee Assignment: Academic and Student Affairs

Finance and Audit Committee

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

Explanation:

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

The audit services report as presented includes the following:

Benefits Proportional by Method of Finance Audit
Construction Management Close-Out Audit
Tuition Set Asides Audit
NCAA Financial Statement Agreed Upon Procedures Review
Charter School Annual Financial Report Audit
Update on Audit Plan

Recommendation:

Acknowledge receipt of the audit services report pending consideration by the Finance and Audit Committee.

ACKNOWLEDGE RECEIPT OF CONTRACT MONITORING REPORT

Explanation:

The 84th Legislature passed Senate Bill 20 (SB20) that added new requirements for state agencies and institutions of higher education related to procurement and contracting. These requirements were written into the Texas Government Code and/or Texas Education Code and were effective September 1, 2015. SB 20 states "as soon as is practicable after the effective date of this Act, the comptroller of public accounts, and each affected state agency as necessary, shall adopt the rules, processes, and procedures and take the actions necessary to implement the changes in law made by this Act". To comply with contract reporting, a procedure has been established to identify each contract that requires enhanced contract or performance monitoring. This report has been developed to include information on identified contracts for reporting to the Board of Regents to meet these requirements. The contract monitoring report as presented includes the following contracts:

Texas General Land Office acting through Cavallo Energy Texas, LLC
RFD & Associates, Inc.
CORE Construction Services of Texas, Inc.
Kirksey Architects, Inc.
Kingham Dalton Wilson, Ltd.
Populous, Inc.
PowerSchool Group LLC - PeopleAdmin

Recommendation:

Approve and acknowledge receipt of the contract monitoring report

Stephen F. Austin State University
Board of Regents – Finance Committee
Texas Government Code Contract Reporting
January 31, 2022

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Summary of Contracts	**9-11**

Texas Government Code Contract Reporting

The 84th Legislature passed Senate Bill 20 (SB20) that added new requirements for state agencies and institutions of higher education related to procurement and contracting. These requirements were written into the Texas Government Code and/or Texas Education Code and were effective September 1, 2015. SB 20 states “as soon as is practicable after the effective date of this Act, the comptroller of public accounts, and each affected state agency as necessary, shall adopt the rules, processes, and procedures and take the actions necessary to implement the changes in law made by this Act”. To comply with contract reporting, a procedure has been established to identify each contract that requires enhanced contract or performance monitoring. This report has been developed to include information on identified contracts for reporting to the Board of Regents to meet these requirements.

Vendor contract: *Texas General Land Office acting through Cavallo Energy Texas LLC*

Description of Contract: Electricity in accordance with participation in an electricity contract with members of the Texas A&M system consortium representing the best value to the University by achieving a competitive electricity rate. Subsequent amendment to extend to 8/31/22.

Vendor Awarded Contract: Texas General Land Office acting through Cavallo Energy Texas LLC

Procurement Method: Other State Agency Contracts (Aggregated solicitation and contract process by Texas A&M system)

Department Responsible for Contract: Physical Plant

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $2,810,800.00

Total Estimated Aggregate Amount: $14,395,705.01

Contract Period: 9/1/2017-8/31/2022

Board Approved: Dec 2012 (Electricity contract authorization)

Director Certification: Completed

President Attestation: Completed

Statutory Reporting Requirement: Government Code 2261.253, 2261.254, 2261.255, GAA Article IX, Section 7.12

Vendor contract: *RFD & Associates, Inc.*

Description of Contract: ITS exadata hardware environment and Oracle software support in accordance with signed agreement on 11/03/2021.

Vendor Awarded Contract: RFD & Associates, Inc.

Procurement Method: DIR-TSO-4158

Department Responsible for Contract: Information Technology Services

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $494,712.12

Total Estimated Aggregate Amount: $1,798,848.40

Contract Period: 7/01/2021-6/30/2025

Board Approved: Exempt per policy 1.4-Hosted software services and applicable license and maintenance for general business operations such as student bill payment, cashiering and student email.

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254

Vendor contract: *CORE Construction Services of TX, Inc.*

Description of Contract: Power Plant 1 Upgrade / Music and Boynton Utility System upgrade. Phase 1 for purchase of equipment and Phase 2 for construction in the amount of $3,755,910.70 with a delivery date of August 31, 2022. Subsequent phase 3 work for Power Plant 1 Upgrade/Music and Boynton Utility System upgrade/Fine Arts Project in the amount of $2,474,620 with a delivery date of 1/31/22. Phase 3 subsequent amendment processed to extend delivery date to 4/22/22.

Vendor Awarded Contract: CORE Construction Services of TX, Inc.

Procurement Method: Cooperative-Sourcewell EZIQC Contract / E & I

Department Responsible for Contract: Physical Plant

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $0.00

Total Estimated Aggregate Amount: $6,230,530.70

Contract Period: 10/15/2020- 8/31/2022

Board Approved: October 2018, July 2019, October 2019, July 2020, July 2021

Director Certification: Completed

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254, 2261.255

Vendor contract: *Kirksey Architects, Inc.*

Description of Contract: Architectural services related to the design for the fine arts expansion, welcome center and student services one stop shop, and residence hall and dining hall in accordance with RFQ#AE-BLDG PROJECTS-2018 opened 9/06/2018 and Architect Agreement and Addenda. Addendum 1-Fine Arts in the amount of $2,518,500 for basic services, $65,800 for additional services and reimbursable expenses not to exceed $77,000. Addendum 1- Welcome Center and Student Support Services Once Stop Shop in the amount of $780,000 for basic services, $164,900 for additional services, and reimbursable expenses not to exceed $24,600. Addendum 1-Construct and Renovate Student Residential and Dining Facilities in the amount of $2,275,200 for basic services, $99,250 for additional services, and reimbursable expenses not to exceed $68,000. Subsequent Amendment No. 1 to Addendum 1-Residence Hall in the amount of $128,000 for redesign services. Subsequent Amendment No. 1-Welcome Center and Student Support Services One Stop Shop termination of project ($884,459). Subsequent Amendment No. 1 to Addendum 1-Fine Arts in the amount of $624,000 for redesign services. Subsequent Amendment No. 2-Fine Arts in the amount of $7,000 for additional services related to redesign. Subsequent Amendment No. 3-Fine Arts in the amount of $159,605 for additional services related to hydronic piping, increase in architect and engineering fee for increased construction cost, reallocation of reimbursable expenses to A-E fee, and required updates to contract documents for updated finishes and extended delivery date. Dining Hall project closed in the amount of ($1,012,000). Residence Hall project closed in the amount of ($372,050).

Vendor Awarded Contract: Kirksey Architects, Inc.

Procurement Method: Request for Qualifications

Department Responsible for Contract: Physical Plant

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: ($1,384,050.00)

Total Estimated Aggregate Amount: $4,723,346.00

Contract Period: 3/5/2019 - 10/31/2023

Board Approved: October 2018, October 2019, November 2021

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254

Vendor contract: *Kingham Dalton Wilson, Ltd.*

Description of Contract: Construction of a fine arts expansion, welcome center and student support services one stop shop, basketball practice facility, and the construction of a new student residence hall, a new dining hall, and renovations to residence hall and dining facilities in accordance with RFP#CMR-BLDG PROJECTS-2019 opened 9/20/18 and construction manager agreement dated 2/07/19 with estimated substantial completion date for all projects of 2/23/21 which may change upon final schedules and final project GMP's. Subsequent amendment for preconstruction services in the amount of $209,744. **Subsequent amendments**: *Basketball Practice Facility* Amendment No.1 effective 7/22/19 for phase 1 of the GMP in the amount of $1,369,388, Amendment No.2 effective 10/29/2019 for phase 2 of the GMP in the amount of $23,818,986. *Welcome Center and Student Support Services One Stop Shop*-Amendment No. 1 to remove project in its entirety effective 2/27/2020. *Preconstruction services* Amendment No. 2 in the amount of $113,928*. Fine Arts Expansion Initiative* Amendment No. 3 for phase 1 of the GMP in the amount of $725,912. *Basketball Practice Facility* Amendment No. 4 for additional services added to Phase 2 GMP in the amount of $274,320. *Fine Arts Expansion Initiative* Amendment No. 5 for additional services added to Phase 1 GMP in the amount of $71,336.63. *Residence Hall* project closed as of 08/31/20 in the amount of ($12,464.12). *Fine Arts Expansion Initiative* Amendment No. 6 for Phase II GMP in the amount of $41,159,676.37. *Fine Arts Expansion Initiative* Amendment No. 7 for transferring an amount from Phase 1 GMP to Phase II GMP in the amount of $17,409.98. *Basketball Practice Facility* Amendment No. 8 to extend final completion date. Basketball Practice Facility-Amendment No. 9 to extend final completion date to 1/22/22. Dining Hall project closed in the amount of ($59,956.90).

Vendor Awarded Contract: Kingham Dalton Wilson, Ltd.

Procurement Method: Request for Proposal

Department Responsible for Contract: Physical Plant

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: ($59,956.90)

Total Estimated Aggregate Amount: $67,670,779.98

Contract Period: 2/07/2019-8/31/2023

Board Approved: October 2018, May 2019, October 2019, January 2020, February 2021, July 2021, November 2021

Director Certification: Completed
President Attestation: Completed
Statutory Reporting Requirement: Government Code 2261.253, 2261.254, 2261.255, GAA Article IX, Section 7.12

Vendor contract: *Populous, Inc.*

Description of Contract: Architectural services related to the construction of a new basketball practice facility in accordance with RFQ#AE-ATHLETIC FACILITIES-2018 opened 09/06/2018 and Architect Agreement and Addendum 1 in the amount of $1,443,050 plus reimbursable expenses not to exceed $133,800. Subsequent Amendment No. 1 to revise phase of work breakdown with an effective date of 12/21/2018. Subsequent Amendment No. 2 effective 9/03/19 for additional services for Branded Interior Environment in the amount of $108,620 plus reimbursable expenses not to exceed $3,800 and updated final project completion date to 11/01/2021. Subsequent Amendment No. 3 in the amount of $422,501 which includes $374,561 for redesign services plus $16,000 for reimbursables and additional services of $31,940 for adding loge boxes in Coliseum. Subsequent Amendment No. 4 in the amount of $4,500 to update AV drawings for streaming service.

Vendor Awarded Contract: Populous, Inc.

Procurement Method: Request for Qualifications

Department Responsible for Contract: Physical Plant

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $4,500.00

Total Estimated Aggregate Amount: $2,116,271.00

Contract Period: 12/05/2018 – 11/01/2021

Board Approved: October 2018, January 2020, February 2021

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254

Vendor contract: *PowerSchool Group, LLC - PeopleAdmin*

Description of Contract: Software licensed products including talent management, training software, and associated implementation and maintenance costs in accordance with signed agreement on 5/07/2021.

Vendor Awarded Contract: PowerSchool Group LLC – People Admin

Procurement Method: Request for Qualifications

Department Responsible for Contract: Human Resources

Serious issue or risk with contract: **Contractual issue regarding product feature delivery- Referred to legal**

Total Current Fiscal Year Amount: $0.00

Total Estimated Aggregate Amount: $656,501.26

Contract Period: 05/15/2021 – 11/06/2025

Board Approved: May 2021

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Not Applicable

Summary of Contracts

Stephen F. Austin State University

Summary of Contracts

Summary of Goods and Services Contracts Greater than $1Million(including Construction)
Finance Committee -January 31, 2022

Description of contract	Vendor Awarded Contract	Procurement method	Department responsible for Contract	Serious issue or risk with contract	Total Current Fiscal Year Amount	Total Estimated Aggregate Amount	Contract period	Board Approved
Electricity in accordance with participation in an electricity contract with members of the Texas A&M system consortium representing the best value to the University by achieving a competitive electricity rate. Subsequent amendment to extend to 8/31/22.	Texas General Land Office acting through Cavallo Energy Texas LLC	Other State Agency Contract (Aggregated solicitation and contract process by Texas A & M system)	Physical Plant	None	$ 2,810,800.00	$ 14,395,705.01	9/1/2017-8/31/2022	Dec 2012 (Electricity contract authorization)
ITS exadata hardware environment and Oracle licenses in accordance with signed agreement on 11/03/21.	RFD & Associates, Inc	DIR-TSO-4158	Information Technology Services	None	$ 494,712.12	$ 1,798,848.40	7/01/2021-6/30/2025	November 2021
Power Plant 1 Upgrade/Music and Boynton Utility System upgrade: Phase 1 for purchase of equipment and Phase 2 for construction in the amount of $3,755,910.70 with a delivery date of August 31, 2022. Subsequent phase 3 work for Power Plant 1 Upgrade/Music and Boynton Utility System upgrade/Fine Arts Project in the amount of $2,474,620 with a delivery date of 1/31/22. Phase 3 subsequent amendment processed to extend delivery date to 4/22/22.	CORE Construction Services of TX, Inc.	Cooperative Contract-E & I and Omnia	Physical Plant	None	$ -	$ 6,230,530.70	06/23/2021 - 08/31/2022	October 2018, July 2019, October 2019, July 2020, July 2021
Architectural services related to the design for the fine arts expansion, welcome center and student services one stop shop, and residence hall and dining hall in accordance with RFQ#AE-BLDG PROJECTS-2018 opened 9/06/2018 and Architect Agreement and Addenda. Addendum 1-Fine Arts in the amount of $2,518,500 for basic services, $65,800 for additional services and reimbursable expenses not to exceed $77,000. Addendum 1- Welcome Center and Student Support Services One Stop Shop in the amount of $780,000 for basic services, $164,900 for additional services, and reimbursable expenses not to exceed $24,600. Addendum 1-Construct and Renovate Student Residential and Dining Facilities in the amount of $2,275,200 for basic services, $99,250 for additional services, and reimbursable expenses not to exceed $68,000. Subsequent Amendment No. 1 to Addendum 1-Residence Hall in the amount of $128,000 for redesign services. Subsequent Amendment No. 1-Welcome Center and Student Support Services One Stop Shop termination of project ($884,459). Subsequent Amendment No. 1 to Addendum 1-Fine Arts in the amount of $624,000 for redesign services. Subsequent Amendment No. 2-Fine Arts in the amount of $7,000 for additional services related to redesign. Subsequent Amendment No. 3-Fine Arts in the amount of $159,605 for additional services related to hydronic piping, increase in architect and engineering fee for increased construction cost, reallocation of reimbursable expenses to A-E fee, and required updates to contract documents for updated finishes and extended delivery date. Dining Hall project closed in the amount of ($1,012,000). Residence Hall project closed in the amount of ($372,050).	Kirksey Architects, Inc.	Request for Qualifications	Physical Plant	None	$ (1,384,050.00)	$ 4,723,346.00	3/05/2019 - 10/31/2023	October 2018, October 2019, November 2021

Stephen F. Austin State University

Summary of Contracts

Summary of Goods and Services Contracts Greater than $1Million(including Construction)

Finance Committee -January 31, 2022

Description of contract	Vendor Awarded Contract	Procurement method	Department responsible for Contract	Serious issue or risk with contract	Total Current Fiscal Year Amount	Total Estimated Aggregate Amount	Contract period	Board Approved
Construction of a fine arts expansion, welcome center and student support services one stop shop, basketball practice facility, and the construction of a new student residence hall, a new dining hall, and renovations to residence hall and dining facilities in accordance with RFP#CMR-BLDG PROJECTS-2019 opened 9/20/18 and construction manager agreement dated 2/07/19 with estimated substantial completion date for all projects of 2/17/23 which may change upon final schedules and final project GMP's. Subsequent amendment for preconstruction services in the amount of $209,744. Subsequent amendments: **Basketball Practice Facility**: Amendment No. 1 effective 7/22/19 for phase 1 of the GMP in the amount of $1,369,388, Amendment No. 2 effective 10/29/2019 for phase 2 of the GMP in the amount of $23,818,986. **Welcome Center and Student Support Services One Stop Shop**-Amendment No. 1 to remove project in its entirety effective 2/27/2020. Preconstruction services Amendment No. 2 in the amount of $113,928. **Fine Arts Expansion Initiative**-Amendment No. 3 for phase 1 of the GMP in the amount of $725,912. **Basketball Practice Fac+A9ility**-Amendment No. 4 for additional services added to Phase 2 GMP in the amount of $274,320. **Fine Arts Expansion Initiative**-Amendment No. 5 for additional services added to Phase 1 GMP in the amount of $71,336.63. **Residence Hall** project closed as of 08/31/20 in the amount of ($12,464.12). **Fine Arts Expansion Initiative**-Amendment No. 6 for Phase II of the GMP in the amount of $41,159,676.37. Amendment No. 7 for transferring an amount from Phase I GMP to Phase II GMP in the amount of $17,409.98. **Basketball Practice Facility**-Amendment No. 8 to extend final completion date. **Basketball Practice Facility**-Amendment No. 9 to extend final completion date to 1/22/22. **Dining Hall** project closed in the amount of ($59,956.90).	Kingham Dalton Wilson, Ltd.	Request for Proposal	Physical Plant	None	$ (59,956.90)	$ 67,670,779.98	2/07/19 -8/31/2023	October 2018, May 2019, October 2019, January 2020, February 2021, July 2021, November 2021
Architectural services related to the construction of a new basketball practice facility in accordance with RFQ#AE-ATHLETIC FACILITIES-2018 opened 9/06/2018 and Architect Agreement and Addendum 1 in the amount of $1,443,050 plus reimbursable expenses not to exceed $133,800. Subsequent Amendment No. 1 to revise phase of work fee breakdown effective 12/21/2018. Subsequent Amendment No. 2 effective 9/03/19 for additional services for Branded Interior Environment in the amount of $108,620 plus reimbursable expenses not to exceed $3,800 and updated final project completion date to 11/01/2021. Subsequent Amendment No. 3 in the amount of $422,501 which includes $374,561 for redesign services plus $16,000 for reimbursables and additional services of $31,940 for adding loge boxes in Coliseum. Subsequent Amendment No. 4 in the amount of $4,500 to update AV drawings for streaming service.	Populous, Inc.	Request for Qualifications	Physical Plant	None	$ 4,500.00	$ 2,116,271.00	12/05/2018-11/01/2021	October 2018, January 2020, February 2021
Additional Contract to Report less than $1,000,000:								
Software licensed products including talent management, training software, and associated implementation and maintenance costs in accordance with signed agreement on 5/07/2021.	PowerSchool Group, LLC - PeopleAdmin	Exempt Policy 17.1 - Direct Publications	Human Resources	**Contractual issue regarding product feature delivery-Referred to legal**	$ -	$ 656,501.26	5/15/2021 - 11/06/2025	May 2021

GRANT AWARDS

Explanation:

In fiscal year 2022, the multi-year grant award total is currently $81,068,198. Of this total, grant awards allocable to fiscal year 2022 are currently $27,923,732, an increase of $986,667 since the last report.

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

Recommendation:

The administration recommends approval and ratification of the additional fiscal year 2022 grant awards that total $986,667 as presented.

Report to the Board of Regents – January 2022
Grants[1] awarded between and October 1, 2021 and December 31, 2021

Fiscal Year 2022 – *as of December 31, 2021*

Amounts allocable to FY22 (detailed in this report)		
Federal funds (direct and pass-through)	$	645,893
State Funds (direct and pass-through)	$	316,285
Private and Local Government	$	24,489
TOTAL	**$**	**986,667**
New awards, FY22 (detailed in this report, all project years)	**$**	**2,899,524**
Cumulative amount allocable to FY22	**$**	**27,923,732**
Cumulative award total FY22, all project years	**$**	**81,068,198**

***New, Additional, or Previously Unreported Awards for* FY22**

Federal Funds (direct and pass-throughs)

Title **** Center for Applied Research and Rural Innovation – Renovation Grant (CARRI)***
Sponsor: Economic Development Administration, US Department of Commerce,
Award Term: August 5, 2021 to August 4, 2026
PI/PD: Dr. Steve Cooper, Social Work – lead grant writer
Dr. Lorenzo Smith, Academic Affairs – university oversight
Jessica DeWitt, Physical Plant – project management
Total Award: $2,500,000 **Amount Allocable to FY22**: $500,000
This construction award will renovate three buildings at the SFA Science Research Center in preparation for housing the new CARRI offices and training facility.

Title **** GEER – Report Modernization Grant***
Sponsor: Texas Higher Education Coordinating Board
(prime sponsor - US Department of Education)
Award Term: December 8, 2021 to June 30, 2022
PI/PD: Karyn Hall, Institutional Research
Total Award: $49,500 **Amount Allocable to FY22**: $49,500
Funds are dedicated to upgrading data and reporting systems due to upcoming changes to Coordinating Board Management (CBM) reporting.

**New awards or additional funds added to a current award*
[1]For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

Report to the Board of Regents – January 2022
Grants[1] awarded between and October 1, 2021 and December 31, 2021

Title **** Small NIPF Landowner Management Survey using Landsat Imagery***
Sponsor: Midwestern State University
(prime sponsor - US Department of the Interior)
Award Term: November 1, 2021 to August 12, 2022
PI/PD: Dr. Daniel Unger, Forestry
Total Award: $1,250 **Amount Allocable to FY22**: $1,250
One student scholarship is provided for student research to determine non-industrial private forest properties that contain potentially manageable forestlands under 50 acres.

Previously Described Awards:
Monitoring Avian Community Response to Forestry Wildlife Treatments along a Successional Chronosequence in the LMAV
Dr. Kathryn 'Rebecca' Kidd, Forestry
Total Award: $73,377 **Amount Allocable to F FY22**: $32,108

Distribution, Occupancy, and Mercury Bioaccumulation of Alligator Snapping Turtles (Macrochelys Temminckii) in Texas
Dr. Christopher Schalk, Forestry
Award Total: $150,878 **Amount allocable to FY22:** $21,114

Ground Truthing the Species Distribution Model of Bachman's Sparrow
Dr. Christopher Schalk, Forestry
Award Total: $148,741 **Amount allocable to FY22:** $20,247

Collaborative Research: UTMOST 3.0 Undergraduate Teaching and Learning in Mathematics with Open Software and Textbooks (UTMOST Collaborative Phase III)
Dr. Thomas Judson, Mathematics & Statistics
Award Total: $95,745 **Amount allocable to FY22:** $13,674

2019-20 MLK Day of Service
Veronica Beavers, Multicultural Affairs
Award Total: $24,000 **Amount allocable to FY22:** $8,000

***Subtotal Federal Amounts Allocable to* FY22 *(this report)* = $ 645,893**
***Subtotal New Federal Awards* (*total award*) = $ 2,558,750**

**New awards or additional funds added to a current award*
[1]For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

Report to the Board of Regents – January 2022
Grants[1] awarded between and October 1, 2021 and December 31, 2021

State Funds (direct and pass-through)

Previously Described Awards:

SFA Jacks Teach
Dr. Jane Long, Science and Mathematics
Award Total: $920,000 **Amount allocable to FY22:** $280,000

****JAMP Special Projects: JAMP Camp 2022***
Dr. Kevin Langford, Biology
Award Total: $20,000 **Amount allocable to FY22:** $20,000

SFA Charter School Instructional Materials Allotment, FY13-FY22
Lysa Hagan, Charter School
Award Total: $238,931 **Amount allocable to FY22:** $16,285

***Subtotal State Amounts Allocable to* FY22 *(this report)* = $316,285**
***Subtotal New State Awards (total award)* = $316,285**

Private Entity and Local Government Awards

Title **** SFA Strings Project***
Sponsor: National Strings Project Consortium
Award Term: September 1, 2021 to August 31, 2022
PI/PD: Alba Madrid, Music Preparatory Division
Total Award: $10,000 **Amount Allocable to FY22**: $10,000
Grant funds will help build building capacity for well-qualified teachers in the SFA Strings Program by funding college student teachers and master teachers.

Title **** Cognition in Dolphins: The Effects of Anthropogenic Noise on Attention, Learning, and Memory***
Sponsor: Dolphin Quest
Award Term: January 1, 2022 to December 31, 2022
PI/PD: Dr. Jason Bruck, Biology
Total Award: $3,975 **Amount Allocable to FY22**: $3,975
This project continues Dr. Bruck's collaboration with his previous university, providing for an Oklahoma State University student and Dr. Bruck to research dolphin training.

**New awards or additional funds added to a current award*
[1]For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

Report to the Board of Regents – January 2022
Grants[1] awarded between and October 1, 2021 and December 31, 2021

Title **** The Use of Drones with Dolphins***
Sponsor: Dolphin Quest
Award Term: January 1, 2022 to December 31, 2022
PI/PD: Dr. Jason Bruck, Biology
Total Award: $3,009 **Amount Allocable to FY22**: $3,009
This research project will study dolphin responses to drones. Funds will allow for Dr. Bruck, an SFA graduate student, and an SFA undergraduate student to travel to Dolphin Quest Bermuda to conduct the research.

Title **** Kin and Species Recognition in Dolphins***
Sponsor: Dolphin Quest
Award Term: January 1, 2022 to December 31, 2022
PI/PD: Dr. Jason Bruck, Biology
Total Award: $2,905 **Amount Allocable to FY22**: $2,905
Another continued collaboration with Oklahoma State University, this research project will focus on how dolphins decipher related kinships since the dolphins do not have a sense of smell and visibility is reduced underwater.

Previously Described Awards:

****Poultry Science Education Student Recruitment FY22***
Dr. Joey Bray, Agriculture
Award Total: $4,600 **Amount allocable to FY22:** $4,600

***Subtotal Private and Local Amounts Allocable to* FY22 *(this report)* = $24,489**
***Subtotal New Private and Local Awards (total award)* = $24,489**

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

**New awards or additional funds added to a current award*
[1]For purposes of this report, the term grant refers to awards in the form of grants, contracts, and other types of agreements from external sponsors. It does not include non-grant scholarships or gifts. Prepared by the Office of Research & Graduate Studies.

RESOLUTION TO ACKNOWLEDGE REVIEW OF INVESTMENT POLICY AND STRATEGY

Explanation:

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

Recommendation:

The administration recommends approval of the Resolution to Acknowledge Review of Investment Policy and Strategy.

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

RESOLUTION TO ACKNOWLEDGE
REVIEW OF INVESTMENT POLICY AND STRATEGY

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

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

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the investment policy and strategy as reviewed on February 1, 2022, and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the February 1, 2022 meeting of the board.

Attest:

_____
Board of Regents, Chair

_____
Board of Regents, Secretary

_____
Date

RESOLUTION TO APPROVE QUALIFIED FINANCIAL INSTITUTIONS AND INVESTMENT BROKERS

Explanation:

Chapter 2256 of the Texas Government Code requires the university to adopt a resolution by the governing body of the institution that approves qualified investment brokers. The financial institutions and brokers/investment managers are listed in the following resolution.

Recommendation:

The administration recommends approval of the financial institutions, investment managers and brokers presented.

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

RESOLUTION APPROVING
FINANCIAL INSTITUTIONS AND BROKERS FOR INVESTMENT TRANSACTIONS

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

WHEREAS, the following firms are approved investment brokers:

Texas A&M University State System
Bank of America
Hilltop Securities

WHEREAS, the following firms are approved financial institutions:

Citizens 1st Bank
Austin Bank
BancorpSouth Bank
Bank of America
Commercial Bank of Texas NA
Southside Bank
Regions Bank
UBank (formerly Huntington State Bank)
Wells Fargo Bank
US Bank
Texas Bank
TexPool
TexSTAR
Texas CLASS
Texas Range
JPMorgan Chase & Co
Wilmington Trust, N.A.
UBS Financial Services Inc.
FTN Financial Capital Markets
Stephens Inc.
Citigroup Global Markets, Inc.
LOGIC
Water Walker Investment
Prosperity 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 February 1, 2022 meeting of the board.

_____	_____	_____	_____
Chair, Board of Regents	Date	Secretary, Board of Regents	Date

Fiscal Year 2023 ROOM AND BOARD RATES

Explanation:

Projected on-campus student housing and food service operating costs support the need for revised room and board rates for fiscal year 2023 (FY23).

Pursuant to the relevant provisions of our current food service contract, the administration and Chartwells, our food service provider, annually negotiate necessary rate increases for the upcoming fiscal year.

A fair market research assessment that focused on trends, the Consumer Price Index (CPI) [Food Away from Home South Region], the Employment Cost Index (ECI), and benchmark comparisons to similar institutions was completed to determine if board rate increases were warranted.

During the past year CPI (food away from home) has increased 4.9% and the ECI (wages and salary accommodation and food service) has increased 8.1%. Thus, a decision was made to increase board rates.

The proposed board rates for FY23, reflect a 5.0% increase, excluding dining dollars.

The administration reviewed the FY23 housing budget proforma, current debt coverage needs, the CPI, and benchmark comparisons to similar institutions. In order to cover debt coverage demands, CPI increases, and best meet budget obligations, a room rate increase is being recommended.

The proposed on-campus room rates for FY2023, reflect a 4.0% increase.

If approved, these revised rates will become effective for the fall semester of 2022.

Recommendation:

The administration recommends approval of a 5.0% increase for board rates and a 4.0% increase for room rates for Fiscal Year 2023, as presented.

Stephen F. Austin State University
Room and Board Rates for 2022-2023 (FY23)

Residence Hall Rates	FY22 Fall/Spring Rates	FY23 Fall/Spring Rates	% Increase
Wisely (Hall 5)	$2,437	$2,534	4%
Steen (Hall 17)	$2,765	$2,876	4%
Hall 20	$3,119	$3,244	4%
Griffith (15) and Kerr (18)	$2,166	$2,253	4%
Hall 14 and 16	$2,248	$2,338	4%
Lumberjack Landing	$3,657	$3,803	4%
Lumberjack Lodge 4 br	$4,184	$4,351	4%
Lumberjack Lodge 2 br	$4,443	$4,621	4%
Lumberjack Village (Building 2) quads	$3,256	$3,386	4%
Lumberjack Village (Building 1) 2br	$4,443	$4,621	4%
Lumberjack Village (Buildings 1 & 2) 1 b	$5,472	$5,691	4%
Lumberjack Village (Building 3) 2br	$4,982	$5,181	4%
Lumberjack Village (Building 3) 1 br	$5,938	$6,176	4%

Meal plans (rates include sales tax)

	All Access Premium w/$275	7/14 Premium w/$350	Basic 7/14 w/$125	All Access w/$50	7/12 w/$200
Campus Resident	$2,148	$2,091	$1,891	$1,948	$1,734
Summer Resident	7/14 w/$75 $692	7/20 w/$50 $869			

Combined Room and Board

Fall and Spring Semester

Residence Hall	All Access Premium	7/14 Premium	7/14 Basic	All Access	7/12
5 Wisely Hall	$4,682	$4,625	$4,425	$4,482	$4,268
14 Hall 14	$4,486	$4,429	$4,229	$4,286	$4,072
15 Griffith Hall	$4,401	$4,344	$4,144	$4,201	$3,987
16 Hall 16	$4,486	$4,429	$4,229	$4,286	$4,072
17 Steen Hall	$5,024	$4,967	$4,767	$4,824	$4,610
18 Kerr Hall	$4,401	$4,344	$4,144	$4,201	$3,987
20 Hall 20	$5,392	$5,335	$5,135	$5,192	$4,978
Lumberjack Landing	$5,951	$5,894	$5,694	$5,751	$5,537
Lodge 4br	$6,499	$6,442	$6,242	$6,299	$6,085
Lodge 2br	$6,769	$6,712	$6,512	$6,569	$6,355
Village (2) quads	$5,534	$5,477	$5,277	$5,334	$5,120
Village (1) 2br	$6,769	$6,712	$6,512	$6,569	$6,355
Village (3) 2 br	$7,329	$7,272	$7,072	$7,129	$6,915
Village (1 & 2) 1br	$7,839	$7,782	$7,582	$7,639	$7,425
Village (3) 1 br	$8,324	$8,267	$8,067	$8,124	$7,910

Students living in the halls listed above are required to have a board plan
Rates above include sales tax for Board

CHANGES TO FY2022 CAPITAL AND HIGHER EDUCATION FUND BUDGET SCHEDULE

Explanation:

The Board of Regents approved the fiscal year 2021-22 institutional operating budget at the July 2021 board meeting. A detailed Capital and Higher Education Fund (HEF) Schedule was also presented in association with the operating budget. Changes to the Capital and HEF schedule are required to reflect changes in budgetary needs, estimated costs, and use of contingency funds.

Touchnet Cashiering Touchnet was originally implemented with a cashiering feature that was not activated. There is an implementation fee to have this feature activated.

HEF Contingency funds are requested for an implementation fee in an amount not to exceed $9,500.

Title IX Security Camera and Switch It is crucial that the Title IX office institute security cameras in our office suite for the safety of our students, employees, and the Title IX team. The 2020 Federal Regulations surrounding Title IX mandated live hearings to which both parties, their advisors, and witnesses attend. With the aforementioned parties and their support persons present in the hallway for an average of two to three days for a hearing there is a heightened need for monitored security measures. These hearings must be recorded and retained. Security cameras would allow the University Police Department to maintain recordings of the Title IX suite should an altercation or more severe safety risk occur.

HEF Contingency funds are requested to purchase security cameras and a switch in an amount not to exceed $6,871.50.

ITS Infrastructure Refresh Many of the systems that provide IT services to the campus have reached end-of-life. These include classroom audio/visual equipment, workstations, networking equipment and servers. The proposed replacement will allow Information Technology Services to continue to provide critical IT services to students, faculty and staff.

Campus Realignment and Renovation funds are requested to purchase distribution switches, at an amount not to exceed $135,000, classroom support and upgrades at an amount not to exceed $225,000, server hardware at an amount not to exceed $400,000, and campus computer refresh at an amount not to exceed $550,000, for a total of $1,310,000.

Recommendation:

The administration recommends approval of changes to the FY2022 Capital and Higher Education Fund Schedule to: 1) Reallocate 2022 HEF Contingency funds for a Touchnet cashiering implementation fee at an amount not to exceed $9,500; 2) Reallocate 2022 HEF Contingency funds to purchase security cameras and a switch for Title IX at an amount not to exceed $6,871.50; 3) Reallocate Campus Space Realignment and Renovation funds to complete an ITS Infrastructure Refresh for a total not to exceed $1,310,000. The administration further recommends authorization of the president to sign associated purchase orders and contracts as necessary.

Stephen F. Austin State University
Higher Education Fund Budget Adjustment Schedule
Fiscal Year 2021-22

Division		Prior Year Budget Available As of January 7, 2022	HEF Original Budget Approved July 27,2021	Approved Budget Adjustment As of November 1, 2021	Approved Adjusted Budget As of November 1, 2021	Proposed Budget Adjustments As of February 1, 2022	Proposed Adjusted Budget As of February 1, 2022
	Prior Year HEF Unspent Allocation						
Other	Prior Year Unexpended Fund Balance	355,676.87					355,676.87
Finance & Admin	HEF Campus Space Realignment & Renovations	4,495,740.00				(1,310,000.00)	3,185,740.00
ITS	HEF Infrastructure Refresh	-				1,310,000.00	1,310,000.00
	Total Prior Year HEF Unspent Allocation	**4,851,416.87**				**-**	**4,851,416.87**
	Debt Service						
Academic Affairs	Debt Service Fine Arts		2,655,579.00		2,655,579.00		2,655,579.00
University Expenditures	Debt Service Energy Conservation Plan Phase 1		29,222.00	(29,222.00)	-		
University Expenditures	Debt Service Energy Conservation Plan Phase 2		65,993.00	(65,993.00)	-		
University Expenditures	Debt Service Energy Conservation Plan Phase 3		782,393.00		782,393.00		782,393.00
	Total Debt Service		**3,533,187.00**	**(95,215.00)**	**3,437,972.00**		**3,437,972.00**
	Capital Outlay						
ITS	Cloud-Based Software		1,619,279.00	(60,000.00)	1,559,279.00		1,559,279.00
							-
University Expenditures	SIS/ERP Hardware and Licensing		495,000.00		495,000.00		495,000.00
Enrollment Management	Financial Aid/Scholarship Software		30,367.00		30,367.00		30,367.00
University Expenditures	Endpoint Management Solution		75,700.00		75,700.00		75,700.00
University Expenditures	Endpoint Protection Solution		108,150.00		108,150.00		108,150.00
University Expenditures	Firewall Annual Subscriptions		154,350.00		154,350.00		154,350.00
University Expenditures	Annual Infrastructure Refresh		250,000.00		250,000.00		250,000.00
Student Affairs	Dining Plan Software		15,000.00	(15,000.00)	-		-
University Expenditures	Internet Name Resolution Hardware		85,000.00		85,000.00		85,000.00
University Expenditures	SAN Storage		250,000.00		250,000.00		250,000.00
ITS	Annual Campus Refresh Wireless		301,728.00		301,728.00		301,728.00
ITS	ITS Infrastructure Support		1,765,295.00	(15,000.00)	1,750,295.00		1,750,295.00
Academic Affairs	Library Materials Budget		1,100,000.00		1,100,000.00		1,100,000.00
Academic Affairs	Costume Collection Space Supplies		2,234.00		2,234.00		2,234.00
Academic Affairs	CNC Router - Art Shop Equipment		12,000.00		12,000.00		12,000.00
Academic Affairs	Petrographic Thin Section Laboratory Equipment		15,518.00		15,518.00		15,518.00
Academic Affairs	HPE Pool Heat Exchanger		16,000.00		16,000.00		16,000.00
Academic Affairs	Provost HEF Contingency		2,282.00		2,282.00		2,282.00
Academic Affairs	Student Gathering Room Ferguson G71		25,000.00		25,000.00		25,000.00
Academic Affairs	Graduate Athletic Training New Space Equipment		42,549.00		42,549.00		42,549.00
Academic Affairs	Large Format Book Scanner		42,985.00		42,985.00		42,985.00
Finance & Admin	Shelton Gym, Replace 4 AHUs		675,000.00		675,000.00		675,000.00
Finance & Admin	Power Plant 2, Replace Roof		86,400.00		86,400.00		86,400.00
Finance & Admin	Emergency Ops - Federal Signal SS2000D - Siren System		175,000.00		175,000.00		175,000.00
Finance & Admin	Campus Safety Cameras and Operating Software		402,000.00		402,000.00		402,000.00
Finance & Admin	E-Procurement Software		250,000.00		250,000.00		250,000.00
Finance & Admin	Tree Replacement - Phased Approach		38,784.00		38,784.00		38,784.00
Finance & Admin	Replace 25 Dumpsters		25,000.00		25,000.00		25,000.00
Finance & Admin	Police Vehicles (2)			114,000.00	114,000.00		114,000.00
Finance & Admin	Shuttle Bus			140,000.00	140,000.00		140,000.00
Finance & Admin	Touchnet Cashiering					9,500.00	9,500.00
Diversity, Equity & Inc	Title IX Security Camera and Switch					6,871.50	6,871.50
Other	Higher Education Fund Contingency		1,449,280.00	(83,785.00)	1,365,495.00	(16,371.50)	1,349,123.50
	Total Capital Outlay		**7,744,606.00**	**95,215.00**	**7,839,821.00**	**-**	**7,839,821.00**
	Total Higher Education Fund Budget		**11,277,793.00**	**-**	**11,277,793.00**		**11,277,793.00**

ACCEPTANCE OF ANNUAL FINANCIAL REPORTS FROM INSTITUTIONALLY RELATED ENTITIES

Explanation:
The Department of Audit Services recommended that the annual financial statements of the university's institutionally related entities be formally submitted and accepted by the board of regents as to increase communication, understanding, and oversight of the university's overall financial condition.

Recommendation:
The administration recommends that the board of regents review and accept the annual financial statements of the university's institutionally related private support organizations that currently includes the Stephen F. Austin State University Foundation, Inc., SFA Real Estate Foundation, Inc. and the Stephen F. Austin State University Alumni Association, Inc.

STEPHEN F. AUSTIN STATE
UNIVERSITY FOUNDATION, INC.
Nacogdoches, Texas

ANNUAL FINANCIAL REPORT

December 31, 2020 and 2019

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AXLEY&RODE LLP
CERTIFIED PUBLIC ACCOUNTANTS

INDEPENDENT AUDITORS' REPORT

Members of the Board of Trustees of
Stephen F. Austin State University
Foundation, Inc.

We have audited the accompanying financial statements of Stephen F. Austin State University Foundation, Inc., (a nonprofit 501(c)(3) organization) which comprise the statements of financial position as of December 31, 2020 and 2019, and the related statements of activities, functional expenses and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosure in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Stephen F. Austin State University Foundation, Inc. at December 31, 2020 and 2019, and the changes in its net assets and its cash flows for the year then ended, in conformity with accounting principles generally accepted in the United States of America.

Axley & Rode LLP
CERTIFIED PUBLIC ACCOUNTANTS

Lufkin, Texas
October 21, 2021

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
STATEMENTS OF FINANCIAL POSITION

	DECEMBER 31, 2020	DECEMBER 31, 2019
ASSETS		
Cash and cash equivalents	$ 263 213	$ 211 679
Other receivables	-	13 800
Accrued interest receivable	113 322	120 184
Unconditional promises to give	3 997 561	1 136 348
Annuity	437 474	446 555
Net receivable from charitable remainder trust	229 277	234 104
Investments (at fair value)	91 745 925	75 221 788
Cash value of life insurance	1 382 590	1 256 679
TOTAL ASSETS	$ 98 169 362	$ 78 641 137
LIABILITIES AND NET ASSETS		
Liabilities:		
Accounts payable	$ 61 802	$ 30 057
Annuities payable	135 778	154 120
Other liabilities	-	7 500
TOTAL LIABILITIES	197 580	191 677
Net Assets:		
Without donor restrictions	618 899	599 855
With donor restrictions	10 874 991	7 567 666
With donor restrictions - Endowment funds	86 477 892	70 281 939
TOTAL NET ASSETS	97 971 782	78 449 460
TOTAL LIABILITIES AND NET ASSETS	$ 98 169 362	$ 78 641 137

The accompanying notes are an integral part of this financial statement.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
STATEMENT OF ACTIVITIES

	FOR THE YEAR ENDED DECEMBER 31, 2020		
	WITHOUT DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS	TOTAL
Revenue and Other Support:			
Contributions and gifts	$ 5 428	$ 12 653 505	$ 12 658 933
Royalty income	-	25 742	25 742
Change in cash value of life insurance	-	125 911	125 911
Change in value of annuity	-	(9 081)	(9 081)
TOTAL REVENUE AND OTHER SUPPORT	5 428	12 796 077	12 801 505
Investment earnings, net of fees	331	9 442 450	9 442 781
Reclassifications	(3 553)	3 553	-
Net assets released from restrictions	2 738 802	(2 738 802)	-
TOTAL REVENUE	2 741 008	19 503 278	22 244 286
Expenses:			
Program Services:			
Management of gifts	2 373 659	-	2 373 659
Donor recognition and stewardship	316 465	-	316 465
TOTAL PROGRAM SERVICES	2 690 124	-	2 690 124
Support Services:			
Administration	31 840	-	31 840
TOTAL SUPPORT SERVICES	31 840	-	31 840
TOTAL EXPENSES	2 721 964	-	2 721 964
CHANGE IN NET ASSETS	19 044	19 503 278	19 522 322
Net assets, beginning	599 855	77 849 605	78 449 460
NET ASSETS, ENDING	$ 618 899	$ 97 352 883	$ 97 971 782

The accompanying notes are an integral part of this financial statement.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
STATEMENT OF ACTIVITIES

	FOR THE YEAR ENDED DECEMBER 31, 2019		
	WITHOUT DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS	TOTAL
Revenue and Other Support:			
Contributions and gifts	$ 40 475	$ 4 386 533	$ 4 427 008
Royalty income	-	27 996	27 996
Change in cash value of life insurance	-	45 945	45 945
TOTAL REVENUE AND OTHER SUPPORT	40 475	4 460 474	4 500 949
Investment earnings, net of fees	-	11 448 231	11 448 231
Reclassifications	(36 261)	36 261	-
Net assets released from restrictions	1 486 899	(1 486 899)	-
TOTAL REVENUE	1 491 113	14 458 067	15 949 180
Expenses:			
Program Services:			
Management of gifts	1 517 300	-	1 517 300
Donor recognition and stewardship	223 408	-	223 408
TOTAL PROGRAM SERVICES	1 740 708	-	1 740 708
Support Services:			
Administration	35 114	-	35 114
TOTAL SUPPORT SERVICES	35 114	-	35 114
TOTAL EXPENSES	1 775 822	-	1 775 822
CHANGE IN NET ASSETS	(284 709)	14 458 067	14 173 358
Net assets, beginning	884 564	63 391 538	64 276 102
NET ASSETS, ENDING	$ 599 855	77 849 605	78 449 460

The accompanying notes are an integral part of this financial statement.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
STATEMENTS OF FUNCTIONAL EXPENSES
For the Year Ended December 31, 2020 and 2019

	PROGRAM SERVICES		
	MANAGEMENT OF GIFTS	DONOR RECOGNITION AND STEWARDSHIP	TOTAL PROGRAM SERVICES
December 31, 2020:			
Distribution of endowment earnings to Stephen F. Austin State University for scholarships and academic programs	$ 2 078 539	$ -	$ 2 078 539
Annuities expense	7 808	-	7 808
Cost of activities and events	-	18 517	18 517
SFASU Alumni Association fee	252 945	-	252 945
Cost of donor software	-	5 745	5 745
University capital campaign support	-	290 656	290 656
Legal and accounting fees	33 829	-	33 829
Travel and conferences	-	-	-
Supplies, postage and bank fees	-	1 547	1 547
Other expenses	538	-	538
TOTAL EXPENSES, YEAR ENDED DECEMBER 31, 2020	$ 2 373 659	$ 316 465	$ 2 690 124
December 31, 2019:			
Distribution of endowment earnings to Stephen F. Austin State University for scholarships and academic programs	$ 1 492 290	$ -	$ 1 492 290
Annuities expense	(263 087)	-	(263 087)
Cost of activities and events	-	69 957	69 957
SFASU Alumni Association fee	257 696	-	257 696
Cost of donor software	-	6 292	6 292
University capital campaign support	-	143 210	143 210
Legal and accounting fees	29 651	-	29 651
Travel and conferences	-	-	-
Supplies, postage and bank fees	-	3 949	3 949
Other expenses	750	-	750
TOTAL EXPENSES, YEAR ENDED DECEMBER 31, 2019	$ 1 517 300	$ 223 408	$ 1 740 708

The accompanying notes are an integral part of this financial statement.

SUPPORT SERVICES	
ADMINISTRATION	TOTAL
$ -	$ 2 078 539
-	7 808
-	18 517
-	252 945
-	5 745
-	290 656
21 276	55 105
1 508	1 508
682	2 229
8 374	8 912
$ 31 840	$ 2 721 964

$ -	$ 1 492 290
-	(263 087)
-	69 957
-	257 696
-	6 292
-	143 210
24 989	54 640
6 178	6 178
547	4 496
3 400	4 150
$ 35 114	$ 1 775 822

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
STATEMENTS OF CASH FLOWS
For the Years Ended December 31, 2020 and 2019

	2020	2019
Cash Flows from Operating Activities:		
Change in net assets	$ 19 522 322	$ 14 173 358
Adjustments to Reconcile Increase (Decrease) in Net Assets to Cash Provided by Operating Activities:		
Realized (gain) loss on sale of investments	(2 145 593)	(821 599)
Unrealized (gain) loss on investments	(6 023 367)	(9 365 439)
Net change in value of annuity	9 081	-
Net (gain) loss on valuation of annuities payable	7 808	(263 087)
(Increase) decrease in accrued interest receivable	6 862	8 839
(Increase) decrease in other receivables	13 800	5 750
(Increase) decrease in cash value of life insurance	(125 911)	(45 945)
(Increase) decrease in net receivable from irrevocable trust	4 827	(19 900)
(Increase) decrease in unconditional promises to give	(2 861 213)	113 095
Increase (decrease) in accounts payable	31 745	4 992
Increase (decrease) in other liabilities	(7 500)	3 991
NET CASH PROVIDED BY OPERATING ACTIVITIES	8 432 861	3 794 055
Cash Flows from Investing Activities:		
Purchase of certificates of deposit	(1 141 000)	(2 764 000)
Proceeds from sale and maturities of investments	50 005 428	26 906 467
Purchase of investments	(57 219 605)	(28 025 384)
NET CASH PROVIDED (USED) IN INVESTING ACTIVITIES	(8 355 177)	(3 882 917)
Cash Flows from Financing Activities:		
Payments on gift annuity contract maturities	(26 150)	(151 803)
NET CASH USED IN FINANCING ACTIVITIES	(26 150)	(151 803)
NET INCREASE (DECREASE) IN CASH AND CASH EQUIVALENTS	51 534	(240 665)
Cash and cash equivalents, beginning	211 679	452 344
CASH AND CASH EQUIVALENTS, ENDING	$ 263 213	$ 211 679

The accompanying notes are an integral part of this financial statement.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS

NOTE 1 - ORGANIZATION AND OPERATION

The Stephen F. Austin State University Foundation, Inc. (Foundation) was incorporated in 1975 to receive and administer gifts, grants and bequests of money and property for the benefit of Stephen F. Austin State University (University) in Nacogdoches, Texas and its students and faculty. It is a non-profit corporation formed to provide a means whereby individuals and organizations can financially support the goals and needs of the faculty and students of the University. The Foundation fulfills its purpose by distributing funds for student scholarships, faculty salary supplements, academic programs, outstanding guest lecturers and artists, and also promoting the University among interested parties. The Foundation currently has no employees, but relies on University employees to fulfill its responsibilities. Also, the Foundation maintains endowments and charitable gift annuities to provide for long-term resources.

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The following is a summary of the Foundation's significant accounting and reporting policies:

Basis of Accounting:

The accompanying financial statements have been prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America (GAAP) as applied to non-profit organizations.

Financial Statement Presentation:

The Foundation reports information regarding its financial position and activities according to two classes of net assets that are based upon the existence or absence of restrictions on use that are placed by its donors: net assets without donor restrictions and net assets with donor restrictions.

Net assets without donor restrictions are resources available to support operations and not subject to donor restrictions. The only limits on the use of net assets without donor restrictions are the broad limits resulting from the nature of the Foundation, the environment in which it operates, the purposes specified in its corporate documents and its application for tax-exempt status.

Net assets with donor restrictions are resources that are subject to donor-imposed restrictions. Some restrictions are temporary in nature, such as those that are restricted by a donor for use for a particular purpose or in a particular future period. Other restrictions may be perpetual in nature, such as those that are restricted by a donor that the resources be maintained in perpetuity.

The Foundation's donor-restricted endowment funds are classified in net assets with donor restrictions. When a donor's restriction is satisfied, either by using the resources in the manner specified by the donor or by the passage of time, the expiration of the restriction is reported in the financial statements by reclassifying the net assets from net asset with donor restrictions to net assets without donor restrictions.

Fair Value Measurements:

Current professional standards define fair value as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. Fair value should be based on assumptions that market participants would use, including a consideration of non-performance risk. Management assesses the inputs used to measure fair value using a three-tier hierarchy based on the extent to which inputs used in measuring fair value are observable in the market. Level 1 inputs are quoted market prices for identical instruments in an active market that the entity has the ability to access and are the most observable. Level 2 inputs include quoted market prices for similar assets and observable inputs such as interest rates, currency exchange rates, commodity rates, and yield curves. Level 3 inputs are not observable in the market and include management's judgments about the assumptions market participants would use in pricing the asset or liability.

Use of Estimates:

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues, expenses, gains, losses and other changes in net assets during the reported period. Actual results could differ from those estimates.

Contributions and Unconditional Promises to Give:

Contributions are recognized when the donor makes a promise to give to the Foundation that is unconditional. Contributions that are restricted by the donor are reported as increases in net assets without donor restrictions if the restrictions expire in the fiscal year in which the contributions are recognized. All other donor-restricted support is reported as an increase in net assets with donor restrictions, depending on the nature of the restrictions.

Unconditional contributions are recognized as revenues in the period received. Conditional contributions are recorded as deferred revenue when received and recognized as income in the period that the conditions are substantially met.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - CONTINUED

Unconditional promises to give (pledges) are recognized as revenue when the commitment is communicated to the Foundation. Conditional promises to give are not recognized until any conditions on which they depend are substantially met. Contributions of assets other than cash are recorded at their estimated fair value.

Unconditional promises to give the Foundation cash or other assets in the future are recorded at their fair value as contribution revenue and contributions receivable. If management expects the cash from the contribution receivable to be received for more than one year in the future, the contribution revenue and receivable are discounted for the time value of money at a discount rate commensurate with low-risk U.S. Treasury instruments at the time of the gift. Management considers all contributions receivable as fully collectible.

Cash and Cash Equivalents:

Cash and cash equivalents include bank accounts and money market funds available for current operations. Cash and cash equivalents that are held for investment purposes are classified as investments (see Note 3).

Investments:

Investments are reported at fair value. Unrealized gains and losses are reported in the statement of activities. Fair values are obtained from the various investment firms that manage the Foundation's investments. Realized gains and losses are determined using the specific identification method for investments in marketable debt securities, and the first-in, first-out (FIFO) method is used for mutual fund and marketable equity securities. Donated investments are recorded at fair value at the time received. The net appreciation or decline in the fair value of investments, which consists of the realized gains or losses and the unrealized appreciation or decline of those investments, is shown in the statement of activities. Investment income is accrued as earned and reported net of investment advisory fees.

The Foundation has significant exposure to a number of risks including interest, market and credit risks for its investment securities. Due to the level of risk exposure, it is possible that near-term valuation changes for investment securities may occur to an extent that could materially affect the amounts reported in the financial statements.

The Foundation maintains pooled investment accounts for its endowments. Investment income and realized and unrealized gains and losses from securities in the pooled investment accounts are allocated periodically to the individual endowments based on the relationship of the fair value of the interest of each endowment to total fair value of the pooled investment accounts, as adjusted for additions to or deductions from those accounts. The Foundation is paid a management fee of one percent of the average invested balance. Up to five percent of the average invested balance is distributed for the purposes delineated in the endowment memorandums of understanding. If returns permit, an amount equal to the rate of inflation may be added back to each endowment principal balance, and an amount may be added to a contingency reserve that may be distributed during years of poor investment performance as determined by the finance committee.

Split Interest Agreements:

Charitable Gift Annuities - The Foundation has entered into irrevocable agreements with donors whereby donors contribute assets in exchange for the right to receive a fixed dollar annual return for their benefit. Obligations to beneficiaries of charitable gift annuities are recorded when incurred at the present value of the distributions to be made to the donor-designated beneficiaries. Present values are determined using life expectancy tables and discount rates established by the Internal Revenue Service. The excess of the value of annuity gift assets received over the computed liability is recorded as support in the year of receipt. The amount recorded as a contribution is considered to be restricted until maturity of the annuity contract. Upon the donor's death, the excess of the gift plus investment earnings over the distributions paid to the donor become restricted endowments, as specified by the gift annuity contracts. The Foundation annually revalues the gift annuity liability for each donor, based on the change in the donor's life expectancy since the prior year. The resulting change in the liability is reported in the statement of activities.

Charitable Remainder Trust - The Foundation is the beneficiary of an irrevocable charitable remainder trust. Under the agreement, the donors retain the rights to periodic distributions from the trust for specified terms. At the end of the trust's term, the assets of the trust become the property of the Foundation. The remainder interest is valued as the market value of trust assets, less the present value of cash flows expected to be paid to the beneficiaries. This amount is recalculated annually and the change in value is recognized as a contribution.

Allocation of Expenses:

The costs of providing various programs and other activities have been summarized on a functional basis in the statement of activities and in the statement of functional expenses. Expenses which directly benefit a specific program are charged to the program benefited. Certain other costs benefit more than one program and accordingly are allocated to the various programs and supporting services benefited.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - CONTINUED

Program Services:

The operating expenses of the Foundation are allocated to two different program service categories in the statement of functional expenses based on management's estimate of the time and expense spent for each of the functions. These functions are defined as follows:

Management of Gifts - The costs are associated with maintenance of endowments and other major gifts that have been granted to the Foundation. These costs include management of endowments, annuities, trusts and investments. Costs also include the distribution of endowment earnings, payments of annuity earnings to the beneficiaries and periodic reporting to interested parties.

Donor Recognition and Development - The costs associated with gathering, processing and maintaining financial and donor information. This function also includes the cost of ongoing donor stewardship.

Federal Income Tax:

The Foundation is a not for profit organization that is exempt from Federal income taxes under Section 501(c)(3) of the Internal Revenue Code. In addition, the Internal Revenue service has determined that the foundation is not a "private foundation" within the meaning of Section 509(a) and qualifies for deductible contributions as provided in Section 170(b)(1)(A)(vi). Form 990 is filed annually.

Contributed Facilities and Services:

The Foundation receives the benefit of donated services and facilities. Donated services and facilities have not been recorded as revenue or expenses because the amount is not considered material to these financial statements.

Uncertain Tax Positions:

The Financial Accounting Standards Board FASB Codification Section 740 requires recognition, measurement and disclosure of uncertain tax positions. The Foundation currently accounts for uncertain tax positions based on the estimated likelihood of assessment and has not determined that any tax positions require an accrual based on current standards of accounting. The Foundation is generally no longer subject to Federal tax examinations for years before 2017.

Subsequent Events:

Management has evaluated subsequent events through October 21, 2021 the date the financial statements were available to be issued.

NOTE 3 - INVESTMENTS

Investments are reported at fair value, based primarily on market quotes. The cost and fair value of the Foundation's investments at December 31, 2020 and 2019 are as follows:

	2020		2019	
	COST	FAIR VALUE	COST	FAIR VALUE
Cash and short-term investments	$ 11 227 200	$ 11 227 200	$ 4 807 461	$ 4 807 461
Certificates of deposit	1 385 000	1 397 540	4 205 000	4 210 123
Corporate bonds	6 870 115	7 233 158	6 435 989	6 621 259
Marketable equity securities	32 691 372	42 303 748	28 493 682	34 391 396
Partnerships	146 608	209 356	160 790	231 167
Mutual funds	15 071 840	17 914 954	13 822 897	14 954 646
Municipal bonds	7 166 749	7 635 111	6 478 752	6 650 592
Obligations of U.S. agencies	3 624 742	3 824 858	3 268 568	3 355 144
TOTAL	$ 78 183 626	$ 91 745 925	$ 67 673 139	$ 75 221 788

Income from investments, as reported in the accompanying statements of activities, is summarized as follows, for the years ended December 31, 2020 and 2019 are as follows:

	2020	2019
Dividends and interest	$ 1 630 564	$ 1 567 822
Realized gain (loss) on sale of investments	2 145 593	821 599
Less: Portfolio management fees	(356 743)	(306 629)
NET REALIZED EARNINGS	3 419 414	2 082 792
Unrealized gain (loss)	6 023 367	9 365 439
NET INVESTMENT EARNINGS	$ 9 442 781	$ 11 448 231

The fair value of assets (equity securities, certificates of deposit and a money market account) totaling $236,485 and $215,673 as of December 31, 2020 and 2019, pertain to a certain endowment that requires the funds to be held in a trust account at a local bank.

The Foundation has committed to fund capital contributions to Capital Partners IV in the amount of $500,000. At December 31, 2020, the Foundation had funded $468,750 of the original commitment and had $31,250 remaining to fund in future periods.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED

NOTE 4 - FAIR VALUE MEASUREMENTS

The Foundation's investments are reported at fair value in the accompanying statement of financial position. The methods used to measure fair value may produce an amount that may not be indicative of net realizable value or reflective of future fair values. Furthermore, although the Foundation believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

The fair value measurement accounting literature establishes a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy consists of three broad levels: Level 1, Level 2, and Level 3. The Foundation uses appropriate valuation techniques based on the available inputs to measure the fair value of its investments. When available, the Foundation measures fair value using Level 1 inputs because they generally provide the most reliable evidence of fair value; Level 3 inputs were only used when Level 1 or Level 2 inputs were not available. The three levels of the fair value hierarchy are as follows:

Level 1 inputs are unadjusted quoted prices in active markets for identical assets or liabilities that the Foundation has the ability to access at the measurement date. The fair value of the corporate bonds, marketable equity securities, mutual funds, municipal bonds and obligations of U.S. Agencies is based on quoted net asset values of the shares held by the Foundation at year-end and are classified as Level 1 prices.

Level 2 inputs are inputs other than quoted prices included within Level 1 that are observable for the asset or liability, either directly or indirectly (including quoted prices for similar securities, interest rates, prepayment speeds, credit risk, etc.). The fair value of the annuity is determined by discounting the related cash flows based on current yields of similar instruments with comparable durations. The Foundation estimates the fair value of the contribution receivable from a beneficial interest in a charitable remainder trust by using an income approach on calculating the present value of the future distributions expected to be received. This approach takes into account the Foundation's determination of an appropriate risk-adjusted discount rate of 7.65% at the date the Trust was established (on November 9, 1994), expected cash flow of the trust's investments, and the life expectancy information published in the IRS Publication 590 (11.40 years at December 31, 2020). The Foundation re-measures the fair value of its beneficial interest in a charitable remainder trust annually and adjusts the measurement inputs based on statements received from the trustee, market conditions and other relevant data.

Level 3 inputs are unobservable inputs for the asset or liability. Investments whose values are classified as Level 3 prices have significant unobservable inputs, as they may trade infrequently or not at all. The fair value of the partnerships is based on monthly statements received from the underlying managers and their administrators, which are not considered observable market inputs. The annuity is not actively traded and significant other observable inputs are not available. Thus, the fair value of the annuity is determined by discounting the related cash flows based on current yields of similar instruments with comparable durations.

Fair values of assets measured on a recurring basis at December 31, 2020 and 2019 are as follows:

		FAIR VALUE MEASUREMENTS AT REPORTING DATE USING		
	FAIR VALUE	QUOTED PRICES IN ACTIVE MARKETS FOR IDENTICAL ASSETS/ LIABILITIES (LEVEL 1)	SIGNIFICANT OTHER OBSERVABLE INPUTS (LEVEL 2)	SIGNIFICANT UNOBSERVABLE INPUTS (LEVEL 3)
December 31, 2020:				
Certificates of deposit	$ 1 397 540	$ -	$ 1 397 540	$ -
Corporate bonds	7 233 158	7 233 158	-	-
Marketable securities	42 303 748	-	42 303 748	-
Partnership	209 356	-	-	209 356
Mutual funds	17 914 954	17 914 954	-	-
Municipal bonds	7 635 111	7 635 111	-	-
Obligations of U.S. agencies	3 824 858	3 824 858	-	-
Annuity	437 474	-	437 474	-
Net receivable from charitable remainder trust	229 277	-	229 277	-
December 31, 2019:				
Certificates of deposit	$ 4 210 123	$ -	$ 4 210 123	$ -
Corporate bonds	6 621 259	6 621 259	-	-
Marketable securities	34 391 396	34 391 396	-	-
Partnership	231 167	-	-	231 167
Mutual funds	14 954 646	14 954 646	-	-
Municipal bonds	6 650 592	6 650 592	-	-
Obligations of U.S. agencies	3 355 144	3 355 144	-	-
Annuity	446 555	-	446 555	-
Net receivable from charitable remainder trust	234 104	-	234 104	-

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED

NOTE 4 - FAIR VALUE MEASUREMENTS - CONTINUED

The following table provides further details of the Level 3 fair value measurements.

	PARTNERSHIP	TOTAL
Balance December 31, 2018	$ 304 161	$ 304 161
Total gains or losses (realized or unrealized) included in net assets	14 882	14 882
Distributions	(87 876)	(87 876)
Purchases	-	-
Sales	-	-
Balance December 31, 2019	231 167	231 167
Total gains or losses (realized or unrealized) included in net assets	20 669	20 669
Distributions	(42 480)	(42 480)
Purchases	-	-
Sales	-	-
Balance December 31, 2020	$ 209 356	$ 209 356

The amount of total gains and (losses) for the year included in change in net assets attributable to the changes in unrealized gains or (losses) relating to assets held at the end of the reporting period amounted to $20,669 and $14,882 at December 31, 2020 and 2019, respectively.

Gains and losses included in statement of activities for the year presented are reported in investment income (loss), net of investment fees.

There were no transfers between Level 1 and Level 2 for the periods presented.

NOTE 5 - CASH VALUE OF LIFE INSURANCE

The Foundation has received life insurance policies on donors, with the understanding that the donors will continue to fund the premiums (for the majority of the Foundation's life insurance policies, the premiums have been paid in full by the donor) and that upon the death of the donor, proceeds will be used for restricted purposes. The total face value of the life insurance policies was $8,054,992 and $7,764,992 for the years ended December 31, 2020 and 2019, respectively. The life insurance policies had cash values of $1,382,590 and $1,256,679 for the years ended December 31, 2020 and 2019, respectively.

NOTE 6 - ANNUITY

In a prior year, the Foundation received the gift of an annuity contract. The Foundation is the owner and beneficiary of the annuity contract. The annuity had a current surrender value of $437,474 and $446,555 for the years ended December 31, 2020 and 2019, respectively. The earnings from the annuity are accumulated into the value of the annuity, until maturity of the annuity. The annuity matures either upon the death of the annuitant, or March 26, 2035, whichever comes first.

The annuity contract was liquidated in 2021, and the proceeds were donated to Stephen F. Austin State University.

NOTE 7 - PROMISES TO GIVE

Unconditional promises to give that are expected to be collected within one year are recorded at net realizable value. Unconditional promises to give that are expected to be collected in future years are recorded at the present value of their estimated future cash flows. The discounts on those amounts are computed using a risk free interest rates from 2.66% to 5.0%. Amortization of the discounts is included in contribution revenue. As of December 31, 2020 and 2019, contributors to the Foundation have made written unconditional promises to give totaling $3,997,561 and $1,136,348, respectively.

Promises to give are due as follows at December 31, 2020:

Less than one year	$ 127 848
One to five years	3 219 879
After five years	1 247 793
Less unamortized discount	(472 181)
Less allowance for uncollectible pledges	(125 778)
	$ 3 997 561

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED

NOTE 8 - CHARITABLE GIFT ANNUITY CONTRACTS

The Foundation issues and manages gift annuity contracts as a means to provide future support for the Foundation's programs. Under these contracts, a donor gives the Foundation assets (typically cash and securities) at the beginning of the contract, and the Foundation makes predetermined periodic payments to the donor and/or a named beneficiary for their lifetime. At the end of the donor's life, the Foundation receives any remaining assets not used in making payments to the donor. In the contract, the donor may specify how the Foundation must use the remaining assets. Consequently, the gift annuity activity has been recorded as net assets with donor restrictions in the accompanying financial statements, and is summarized for the years ended December 31, 2020 and 2019:

	2020	2019
Assets attributed to annuities	$ 555 220	$ 521 795
Less annuities payable	135 778	154 120
NET ASSETS ATTRIBUTED TO ANNUITIES	$ 419 442	$ 367 675
Payments to annuitants	$ 26 150	$ 151 803
Investment earnings on annuity assets	50 507	156 549
NET (INCOME) EXPENSE	(24 357)	(4 746)
Decrease in value of annuities payable	(18 342)	(414 890)
NET ANNUITIES (INCOME) EXPENSE	$ (42 699)	$ (419 636)

The gift annuity obligations require future cash payments of $25,062 per year at December 31, 2020 until maturity. Annuities totaling approximately $11,600 and $407,000 matured during the year ended December 31, 2020 and 2019, respectively.

NOTE 9 - CHARITABLE REMAINDER TRUST

The Foundation has been named as a beneficiary of an irrevocable charitable remainder trust. The trust requires payment of 9.2% annually of the value of trust assets or 100% of trust income, whichever is less, to the beneficiaries for their joint lives. The future cash flows are estimated to be $14,294 per year at December 31, 2020. The fair value of the Trust's assets was $335,490 and $356,376 and the present value of future cash payments was $106,213 and $122,272 at December 31, 2020 and 2019 respectively, resulting in the net receivable of $229,277 and $234,104 at December 31, 2020 and 2019 respectively. All of the amounts under this trust agreement are receivable more than five years after December 31, 2020.

NOTE 10 - TRANSACTIONS WITH STEPHEN F. AUSTIN STATE UNIVERSITY

The University pays substantially all salaries, payroll taxes and employee benefits of the foundation. The University also provides the use of office space and equipment. The value of this support is not considered to be material to the Foundation, and is not reflected in the Foundation's financial statements. Program services payments are made to departments of the University for the benefit of the University and its students and faculty, as captioned in the accompanying statement of activities.

NOTE 11 - NET ASSETS

Net assets consisted of the following at December 31, 2020:

	WITHOUT DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS ENDOWMENTS	TOTAL
Scholarships, academic programs and faculty support	$ -	$ 6 332 891	$ 72 481 407	$ 78 814 298
Gift annuities	-	419 442	-	419 442
Donor designated	-	421 406	-	421 406
Unallocated endowment income	-	-	8 957 516	8 957 516
Endowment Reserves:				
Contingencies	-	3 701 252	-	3 701 252
Inflation	-	-	3 933 005	3 933 005
Interest	-	-	1 105 964	1 105 964
Operations	124 517	-	-	124 517
Foundation operations	494 382	-	-	494 382
TOTAL	$ 618 899	$ 10 874 991	$ 86 477 892	$ 97 971 782

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED

NOTE 11 - NET ASSETS - CONTINUED

Net assets consisted of the following at December 31, 2019:

	WITHOUT DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS ENDOWMENTS	TOTAL
Scholarships, academic programs and faculty support	$ -	$ 4 327 034	$ 57 920 380	$ 62 247 414
Gift annuities	-	367 675	-	367 675
Donor designated	-	1 077 424	-	1 077 424
Unallocated endowment income	-	-	11 017 827	11 017 827
Endowment Reserves:				
Contingencies	-	1 795 533	-	1 795 533
Inflation	-	-	251 044	251 044
Interest	-	-	1 092 688	1 092 688
Operations	101 923	-	-	101 923
Foundation operations	497 932	-	-	497 932
TOTAL	$ 599 855	$ 7 567 666	$ 70 281 939	$ 78 449 460

NOTE 12 - NET ASSETS WITH DONOR RESTRICTIONS RELEASED FROM RESTRICTIONS

Net assets with donor restrictions released from restrictions by the satisfaction of either purpose or time requirements for the years ended December 31, 2020 and 2019 amounted to $2,738,802 and $1,486,899, respectively. Accordingly, the following table summarizes the amounts reclassified from net assets with donor restrictions to net assets without donor restrictions:

	WITHOUT DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS
Satisfaction of Restrictions for 2020:		
Endowment distributions	$ 1 805 154	$ (1 805 154)
Annuities expense	7 808	(7 808)
Designated distributions	248 822	(248 822)
SFASU Alumni Association fee	252 945	(252 945)
Other fund distributions	24 562	(24 562)
Management fees	399 511	(399 511)
TOTAL	$ 2 738 802	$ (2 738 802)
Satisfaction of Restrictions for 2019:		
Endowment distributions	$ 1 311 471	$ (1 311 471)
Annuities expense	(263 087)	263 087
Designated distributions	167 011	(167 011)
SFASU Alumni Association fee	257 696	(257 696)
Other fund distributions	13 808	(13 808)
Management fees	-	-
TOTAL	$ 1 486 899	$ (1 486 899)

NOTE 13 - EQUITY IN LIMITED PARTNERSHIP

The Foundation has a 1% equity interest in a limited partnership that owns rental real estate in Nacogdoches, Texas. Since the Foundation's entire share of net income that is derived through the rental and investment activities is distributed annually, the equity interest is reduced to zero and not shown in the accompanying statement of financial position. The Foundation received $-0- and $375 in rental and investment income for the years ended December 31, 2020 and 2019, respectively. Scholarships of $-0- and $200 were paid from the proceeds for the years ended December 31, 2020 and 2019, respectively.

NOTE 14 - DONOR RECOGNITION AND STEWARDSHIP

Proceeds associated with the Gala (a stewardship event) totaled $40,475, with a cost of $43,283 for the year ended December 31, 2019. The Gala was cancelled in 2020 due to the COVID Pandemic.

NOTE 15 - SIGNIFICANT ESTIMATES AND CONCENTRATIONS

Material estimates relate to the fair value of investments, unconditional promises to give and annuities payable.

The Foundation's financial instruments that are exposed to concentrations of credit risk consist primarily of cash and investments and unconditional promises to give. The Foundation has cash in federally insured banks. These deposits are sometimes in excess of the Federal Deposit Insurance Corporation's insurance limit. One donor comprises over 84% of the value of unconditional promises to give.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED

NOTE 15 - SIGNIFICANT ESTIMATES AND CONCENTRATIONS - CONTINUED

Investments are managed by professional investment management companies based on recommendations by the Foundation's finance committee. Each investment manager is subject to the Foundation's investment policy, approved by the Board of Trustees, which contains objectives, guidelines and restrictions designed to provide for preservation of capital with an emphasis on providing current income and achieving long-term growth of the funds without undue exposure to risk. Certain funds have been pooled for ease of management and to achieve greater diversification in investments.

Financial instruments that potentially subject the Fund to concentrations of interest and market risk consist of investments. These investments are subject to market fluctuations which affect the fair value of the investment.

NOTE 16 - ENDOWMENTS

The Foundation's endowments consist only of donor-restricted endowment funds which the earnings are to be used to pay scholarships to students and to provide support for faculty and academic programs of Stephen F. Austin State University. As required by accounting principles generally accepted in the United States of America (GAAP), net assets associated with endowment funds are classified and reported based on the existence or absence of donor-imposed restrictions.

Interpretation of Relevant Law

Absent explicit donor stipulations to the contrary, the Board of Trustees of the Foundation has interpreted the State Prudent Management of Institutional Funds Act (SPMIFA) as requiring the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds. As a result of this interpretation, the Foundation retains in perpetuity and classifies as net assets with donor restrictions (a) the original value of gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment, and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund. The remaining portion of the donor-restricted endowment fund that is not retained in perpetuity are subject to appropriation for expenditure by the Foundation in a manner consistent with the standard of prudence prescribed by SPMIFA. In accordance with SPMIFA, the Foundation considers the following factors in making a determination to appropriate or accumulate donor-restricted endowment funds: (1) the duration and preservation of the various funds, (2) the purposes of the donor-restricted endowment funds, (3) general economic conditions, (4) the possible effect on inflation and deflation, (5) the expected total return from income and appreciation of investments, (6) other resources of the Foundation, and (7) the Foundation's investment policies.

Investment Return Objectives and Risk Parameters

The Foundation has adopted investment and spending policies, approved by the Board of Trustees, for endowment assets. Those policies attempt to provide a predictable stream of funding to programs supported by its endowment funds while seeking to maintain the purchasing power of those endowment assets over the long-term. Endowment assets include those assets of donor-restricted funds that the Foundation must hold to perpetuity. Under this policy, approved by the Board of Trustees, the performance of the total portfolio and each asset is monitored by an Investment Consultant and reported to the Investment Committee each month. Quarterly reports are made to the Board that includes a comparison of the total portfolio and each asset class to appropriate benchmarks. Performance goals are based upon a long-term investment horizon; therefore, interim variations should be expected.

Investment Strategies Employed for Achieving Objectives

To satisfy its long-term rate-of-return objectives, the Foundation relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized) and current yield (interest and dividends). The Foundation targets a diversified asset allocation to achieve its long-term return objectives within prudent risk constraints.

Spending Policy

The Foundation has a policy of appropriating for distribution each year up to 5% of its endowment fund’s fair value at the end of the calendar year-end preceding the year in which the distribution is planned. In establishing this policy, the Foundation considers the long-term expected return on its investment assets, the nature and duration of the individual endowment funds, many of which must be maintained in perpetuity because of donor restrictions, and the possible effect of inflation. The Foundation expects the current spending policy to allow its endowment funds to grow. This is consistent with the Foundation’s objective to maintain the purchasing power of the endowment assets as well as provide additional real growth through new gifts and investment return.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED

NOTE 16 - ENDOWMENTS - CONTINUED

Funds with Deficiencies

From time to time, certain donor-restricted endowment funds may have fair values that are less than the amount required to be maintained by donors or by law (underwater endowments). The Foundation has interpreted UPMIFA to permit spending from underwater endowments in accordance with prudent measures required by law. At December 31, 2020 and 2019, funds with deficit balances were as follows:

	2020	2019
Original gift value	$ 17 390 469	$ 47 761 649
Fair value of gifts	14 592 505	41 807 796
Deficiencies	$ (2 797 964)	$ (5 953 853)
Expenditures from underwater endowments	$ 321 111	$ 1 055 708

NOTE 17 - LIQUIDITY

The Foundation's primary liquidity resources is income from investments. The following reflects the Foundation's financial assets as of December 31, 2020 and 2019, reduced by amounts not available for general use within one year because of contractual or donor-imposed restrictions or internal designations.

	2020	2019
Financial assets, at end of year	$ 98 169 362	$ 78 641 137
Less those Unavailable for General Expenditures Within One Year Due to Contractual or Donor Imposed Restrictions:		
Contractual or Donor Imposed Restrictions:		
Annuities payable	(135 778)	(154 120)
Endowment fund	(97 352 883)	(77 849 605)
FINANCIAL ASSETS AVAILABLE TO MEET CASH NEEDS FOR GENERAL EXPENDITURES WITHIN ONE YEAR	$ 680 701	$ 637 412

ADDITIONAL INFORMATION

AXLEY&RODE LLP
CERTIFIED PUBLIC ACCOUNTANTS

INDEPENDENT AUDITORS' REPORT ON ADDITIONAL INFORMATION

To the Trustees
Stephen F. Austin State University
Foundation, Inc.
Nacogdoches, Texas

We have audited the financial statements of Stephen F. Austin State University Foundation, Inc. as of December 31, 2020, and for the year then ended, and our report thereon dated October 21, 2021 which expressed an unmodified opinion on those financial statements, appears on page 3. Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The combining information on pages 21 through 24 is presented for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

Axley & Rode LLP
CERTIFIED PUBLIC ACCOUNTANTS

Lufkin, Texas
October 21, 2021

www.axleyrode.com

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
COMBINED STATEMENT OF FINANCIAL POSITION
December 31, 2020

	UNIVERSITY FOUNDATION	ALUMNI FOUNDATION	COMBINED
ASSETS			
Cash and cash equivalents	$ 250 499	$ 12 714	$ 263 213
Other receivables	(324 299)	324 299	-
Accrued interest receivable	70 438	42 884	113 322
Unconditional promises to give	3 874 123	123 438	3 997 561
Annuity	-	437 474	437 474
Net receivable from charitable remainder trust	229 277	-	229 277
Investments (At Fair Value):			
Cash and short-term investments	9 025 891	2 201 309	11 227 200
Certificates of deposit	1 397 540	-	1 397 540
Corporate bonds	4 488 121	2 745 037	7 233 158
Marketable securities	26 188 763	16 114 985	42 303 748
Publicly traded partnerships	-	209 356	209 356
Mutual funds	11 291 239	6 623 715	17 914 954
Obligations of U.S. Agencies	2 427 426	1 397 432	3 824 858
Municipal bonds	4 734 231	2 900 880	7 635 111
Cash value of life insurance	1 322 521	60 069	1 382 590
TOTAL ASSETS	$ 64 975 770	$ 33 193 592	$ 98 169 362
LIABILITIES AND NET ASSETS			
Liabilities:			
Accounts payable	$ 61 802	$ -	$ 61 802
Annuities payable	135 778	-	135 778
TOTAL LIABILITIES	197 580	-	197 580
Net Assets:			
Without donor restrictions	618 899	-	618 899
With donor restrictions	64 159 291	33 193 592	97 352 883
TOTAL NET ASSETS	64 778 190	33 193 592	97 971 782
TOTAL LIABILITIES AND NET ASSETS	$ 64 975 770	$ 33 193 592	$ 98 169 362

See independent auditors' report.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
COMBINED STATEMENT OF ACTIVITIES
For the Year Ended December 31, 2020

	UNIVERSITY FOUNDATION	ALUMNI FOUNDATION	COMBINED
Revenue and Other Support:			
Contributions and gifts	$ 12 476 103	$ 182 830	$ 12 658 933
Royalty income	-	25 742	25 742
Change in cash value of life insurance	121 745	4 166	125 911
Change in value of annuity	-	(9 081)	(9 081)
TOTAL REVENUE AND OTHER SUPPORT	12 597 848	203 657	12 801 505
Investment earnings, net of fees	4 486 937	4 955 844	9 442 781
Transfers	889 040	(889 040)	-
TOTAL REVENUES	17 973 825	4 270 461	22 244 286
Expenses:			
Distribution of endowment earnings	1 479 593	598 946	2 078 539
Annuities expense	7 808	-	7 808
Cost of activities and events	18 517	-	18 517
SFASU Alumni Association fee	-	252 945	252 945
Cost of donor software	5 745	-	5 745
University capital campaign support	290 656	-	290 656
Legal and accounting fees	55 105	-	55 105
Travel and conferences	1 508	-	1 508
Supplies, postage and bank fees	2 229	-	2 767
Other expenses	8 912	-	8 912
TOTAL EXPENSES	1 870 073	851 891	2 721 964
CHANGE IN NET ASSETS	$ 16 103 752	$ 3 418 570	$ 19 522 322

See independent auditors' report.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
COMBINED STATEMENT OF FINANCIAL POSITION
December 31, 2019

	UNIVERSITY FOUNDATION	ALUMNI FOUNDATION	COMBINED
ASSETS			
Cash and cash equivalents	$ 188 199	$ 23 480	$ 211 679
Other receivables	(278 053)	291 853	13 800
Accrued interest receivable	70 876	49 308	120 184
Unconditional promises to give	969 416	166 932	1 136 348
Annuity	-	446 555	446 555
Net receivable from charitable remainder trust	234 104	-	234 104
Investments (At Fair Value):			
Cash and short-term investments	4 092 025	715 436	4 807 461
Certificates of deposit	4 210 123	-	4 210 123
Corporate bonds	3 777 741	2 843 518	6 621 259
Marketable securities	19 844 902	14 546 494	34 391 396
Publicly traded partnerships	231 167	-	231 167
Mutual funds	8 744 038	6 210 608	14 954 646
Obligations of U.S. Agencies	1 794 482	1 560 662	3 355 144
Municipal bonds	3 786 319	2 864 273	6 650 592
Cash value of life insurance	1 200 776	55 903	1 256 679
TOTAL ASSETS	$ 48 866 115	$ 29 775 022	$ 78 641 137
LIABILITIES AND NET ASSETS			
Liabilities:			
Accounts payable	$ 30 057	$ -	$ 30 057
Annuities payable	154 120	-	154 120
Other liabilities	7 500	-	7 500
TOTAL LIABILITIES	191 677	-	191 677
Net Assets:			
Without donor restrictions	599 855	-	599 855
With donor restrictions	48 074 583	29 775 022	77 849 605
TOTAL NET ASSETS	48 674 438	29 775 022	78 449 460
TOTAL LIABILITIES AND NET ASSETS	$ 48 866 115	29 775 022	78 641 137

See independent auditors' report.

STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION, INC.
COMBINED STATEMENT OF ACTIVITIES
For the Year Ended December 31, 2019

	UNIVERSITY FOUNDATION	ALUMNI FOUNDATION	COMBINED
Revenue and Other Support:			
Contributions and gifts	$ 4 272 119	$ 154 889	$ 4 427 008
Royalty income	-	27 996	27 996
Change in cash value of life insurance	41 761	4 184	45 945
TOTAL REVENUE AND OTHER SUPPORT	4 313 880	187 069	4 500 949
Investment earnings, net of fees	6 510 908	4 937 323	11 448 231
Transfers	31 260	(31 260)	-
TOTAL REVENUE	10 856 048	5 093 132	15 949 180
Expenses:			
Distribution of endowment earnings	1 221 320	270 970	1 492 290
Annuities expense	(263 087)	-	(263 087)
Cost of activities and events	69 957	-	69 957
SFASU Alumni Association fee	-	257 696	257 696
Cost of donor software	6 292	-	6 292
University capital campaign support	143 210	-	143 210
Legal and accounting fees	54 640	-	54 640
Travel and conferences	6 178	-	6 178
Supplies, postage and bank fees	4 496	-	4 496
Other expenses	4 150	-	4 150
TOTAL EXPENSES	1 247 156	528 666	1 775 822
CHANGE IN NET ASSETS	$ 9 608 892	$ 4 564 466	$ 14 173 358

See independent auditors' report.

SFA REAL ESTATE FOUNDATION, INC.
Nacogdoches, Texas

ANNUAL FINANCIAL REPORT

December 31, 2016

AXLEY&RODE LLP
CERTIFIED PUBLIC ACCOUNTANTS

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AXLEY&RODE LLP
CERTIFIED PUBLIC ACCOUNTANTS

INDEPENDENT AUDITORS' REPORT

Members of the Board of Trustees of
SFA Real Estate Foundation, Inc.

We have audited the accompanying financial statements of SFA Real Estate Foundation, Inc., (a nonprofit organization) which comprise the statement of financial position as of December 31, 2016, and the related statements of activities and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

The Foundation's management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosure in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of SFA Real Estate Foundation, Inc. at December 31, 2016, and the changes in its net assets and its cash flows for the year then ended, in conformity with accounting principles generally accepted in the United States of America.

Axley & Rode LLP
CERTIFIED PUBLIC ACCOUNTANTS

Lufkin, Texas
February 20, 2018

www.axleyrode.com

SFA REAL ESTATE FOUNDATION, INC.
STATEMENT OF FINANCIAL POSITION
December 31, 2016

ASSETS	
Cash and cash equivalents	$ 161 778
Real estate	6 272 530
TOTAL ASSETS	$ 6 434 308
LIABILITIES AND NET ASSETS	
Liabilities:	
Other liabilities	$ -
TOTAL LIABILITIES	-
Net Assets:	
Unrestricted	-
Temporarily restricted	312 408
Permanently restricted	6 121 900
TOTAL NET ASSETS	6 434 308
TOTAL LIABILITIES AND NET ASSETS	$ 6 434 308

The accompanying notes are an integral part of this financial statement.

SFA REAL ESTATE FOUNDATION, INC.
STATEMENT OF ACTIVITIES
For the Year Ended December 31, 2016

	UNRESTRICTED	TEMPORARILY RESTRICTED	PERMANENTLY RESTRICTED	TOTAL
Revenue and Other Support:				
Contributions and gifts	$ -	$ 600	$ -	$ 600
Timber sales	-	96 638	-	96 638
Lease income, net	-	29 594	-	29 594
Net assets released from restrictions	185 031	(185 031)	-	-
TOTAL REVENUE AND OTHER SUPPORT	185 031	(58 199)	-	126 832
Expenses:				
Program Services:				
Distributions to Stephen F. Austin State University	164 761	-	-	164 761
Forestry maintenance	14 734	-	-	14 734
Repairs	2 925	-	-	2 925
Insurance	1 461	-	-	1 461
TOTAL PROGRAM SERVICES	183 881	-	-	183 881
Support Services:				
Accounting	1 150	-	-	1 150
TOTAL SUPPORT SERVICES	1 150	-	-	1 150
TOTAL EXPENSES	185 031	-	-	185 031
CHANGE IN NET ASSETS	-	(58 199)	-	(58 199)
Net assets, beginning	-	370 607	6 121 900	6 492 507
NET ASSETS, ENDING	$ -	$ 312 408	$ 6 121 900	$ 6 434 308

The accompanying notes are an integral part of this financial statement.

SFA REAL ESTATE FOUNDATION, INC.
STATEMENT OF CASH FLOWS
For the Year Ended December 31, 2016

Cash Flows from Operating Activities:	
Change in net assets	$ (58 199)
Adjustments to Reconcile Increase (Decrease) in Net Assets to Cash Provided by Operating Activities:	
Realized loss on sale of real estate	-
NET CASH USED BY OPERATING ACTIVITIES	(58 199)
NET DECREASE IN CASH AND CASH EQUIVALENTS	(58 199)
Cash and cash equivalents, beginning	219 977
CASH AND CASH EQUIVALENTS, ENDING	$ 161 778

The accompanying notes are an integral part of this financial statement.

SFA REAL ESTATE FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS
December 31, 2016

NOTE 1 - ORGANIZATION AND OPERATION

The SFA Real Estate Foundation, Inc. (Foundation) was incorporated in 1977 to advance education through financial support of Stephen F. Austin State University (University) in Nacogdoches, Texas by creating a vehicle to accept donations of real estate that the income generated from will be used to support the goals and needs of the faculty and students of the University. The Foundation has fulfilled its purpose by distributing funds for student scholarships, faculty salary supplements, academic programs and also promoting the University among interested parties.

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The following is a summary of the Foundation's significant accounting and reporting policies:

Basis of Accounting:

The accompanying financial statements have been prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America (GAAP) as applied to non-profit organizations.

Financial Statement Presentation:

In accordance with GAAP the net assets and all balances and transactions are presented based on the existence or absence of donor imposed restrictions. Accordingly, the net assets of the Foundation and changes therein are classified and reported as follows:

Unrestricted Net Assets - Net assets not subject to donor-imposed restrictions. These are operating funds available for any purpose authorized by the Board of Trustees.

Temporarily Restricted Net Assets - Net assets subject to donor-imposed stipulations that will be met either by actions of the Foundation and/or passage of time.

Permanently Restricted Net Assets - Net assets subject to donor-imposed stipulations that they be maintained permanently by the Foundation. Generally, the donors of these assets permit the Foundation to use all or part of the income earned on related investments for general or specific purposes. These are endowment funds in which the corpus (principal) cannot be obligated or used, but the earnings must be used for purposes specified by donor. Investment earnings on endowments are considered temporarily restricted.

Net Assets Released from Restrictions:

When a donor restriction is accomplished, temporarily restricted net assets are reclassified to unrestricted net assets and reported in the statement of activities as net assets released from restrictions.

Use of Estimates:

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues, expenses, gains, losses and other changes in net assets during the reported period. Actual results could differ from those estimates.

SFA REAL ESTATE FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED
December 31, 2016

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - CONTINUED

Contributions:

Contributions are recognized when the donor makes a promise to give to the Foundation that is unconditional. Contributions that are restricted by the donor are reported as increases in unrestricted net assets if the restrictions expire in the fiscal year in which the contributions are recognized. All other donor-restricted support is reported as an increase in temporarily or permanently restricted net assets, depending on the nature of the restrictions.

Unconditional contributions are recognized as revenues in the period received. Conditional contributions are recorded as deferred revenue when received and recognized as income in the period that the conditions are substantially met.

Cash and Cash Equivalents:

For purposes of the Statement of Cash Flows, the Foundation considers all highly liquid investments with an initial maturity of three months or less to be cash equivalents.

Donated Assets:

Noncash donations are recorded as contributions at their fair value at the date of donation.

Real Estate Investments:

Real estate investments are reported at the lower of cost or fair value. Cost is determined as fair value at date of contribution. Fair values are obtained from certified appraisals or the various Appraisal Districts that value the real estate each year for municipalities.

Realized gains and losses are determined using the specific identification method.

Declines in the aggregate fair value (that is, the fair value of the entire real estate investment portfolio) are recognized in the statement of activities if the aggregate fair value is less than the aggregate carrying value. Recoveries of aggregate fair value in subsequent periods are recognized up to the original cost of the investment.

Allocation of Expenses:

The costs of providing various programs and other activities have been summarized on a functional basis in the statement of activities and in the statement of functional expenses. Expenses which directly benefit a specific program are charged to the program benefited. Certain other costs benefit more than one program and accordingly are allocated to the various programs and supporting services benefited.

Federal Income Tax:

The Foundation is a not for profit organization that is exempt from Federal income taxes under Section 501(c)(3) of the Internal Revenue Code. In addition, the Internal Revenue service has determined that the foundation is not a "private foundation" within the meaning of Section 509(a) and qualifies for deductible contributions as provided in Section 170(b)(1)(A)(vi) Form 990 is filed annually.

SFA REAL ESTATE FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED
December 31, 2016

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - CONTINUED

Contributed Facilities and Services:

The Foundation receives the benefit of donated services and facilities. Donated services and facilities have not been recorded as revenue or expenses because the amount is not considered material to these financial statements.

Uncertain Tax Positions:

The Financial Accounting Standards Board FASB Codification Section 740 requires recognition, measurement and disclosure of uncertain tax positions. The Foundation currently accounts for uncertain tax positions based on the estimated likelihood of assessment and has not determined that any tax positions require an accrual based on current standards of accounting. The Foundation is generally no longer subject to Federal tax examinations for years before 2013.

Subsequent Events:

Management has evaluated subsequent events through February 20, 2018, the date the financial statements were available to be issued.

NOTE 3 - TRANSACTIONS WITH STEPHEN F. AUSTIN STATE UNIVERSITY

The University pays all salaries, payroll taxes and employee benefits of the Foundation. The University also provides the use of office space and equipment. The value of this support is not considered to be material to the Foundation, and is not reflected in the Foundation's financial statements. Program services payments are made to departments of the University for the benefit of the University and its students and faculty, as captioned in the accompanying statement of activities.

NOTE 4 - NET ASSETS

Net assets consisted of the following at December 31, 2016:

	UNRESTRICTED	TEMPORARILY RESTRICTED	PERMANENTLY RESTRICTED	TOTAL
Scholarships, academic programs and faculty support	$ -	$ 312 408	$ 6 121 900	$ 6 434 308
TOTAL	$ -	$ 312 408	$ 6 121 900	$ 6 434 308

Certain real estate investments were contributed to the Foundation pursuant to a Carbon Sequestration Agreement. The agreement requires the Foundation to hold the real estate for perpetuity. Any net profits generated by the management of the forest are to be used for scholarships, research, or educational programs (including carbon sequestration) solely in the Author Temple College of Forestry at Stephen F. Austin State University.

NOTE 5 - TEMPORARILY RESTRICTED NET ASSETS RELEASED FROM RESTRICTIONS

Temporarily restricted net assets released from restrictions by the satisfaction of either purpose or time requirements for the years ended December 31, 2016 amounted to $185,031. Accordingly, the following table summarizes the amounts reclassified from temporarily restricted net assets to unrestricted net assets:

	UNRESTRICTED	TEMPORARILY RESTRICTED
Satisfaction of Restrictions for 2016:		
Endowment distributions	$ 164 761	$ (164 761)
Operating expense distributions	20 270	(20 270)
TOTAL	$ 185 031	$ (185 031)

SFA REAL ESTATE FOUNDATION, INC.
NOTES TO THE FINANCIAL STATEMENTS - CONTINUED
December 31, 2016

NOTE 6 - SIGNIFICANT ESTIMATES AND CONCENTRATIONS

Material estimates relate to the fair value of real estate investments. Real estate investment fair values are based on independent third-party appraisals and values from Appraisal Districts. The Foundation's financial instruments that are exposed to concentrations of credit risk consist primarily of cash. The Foundation has cash in federally insured banks.

NOTE 7 - ENDOWMENTS

The Foundation's endowments consist only of donor-restricted real estate investments which the net profits are to be used to pay scholarships to students and to provide support for faculty and academic programs of Stephen F. Austin State University. As required by GAAP, net assets associated with endowment funds are classified and reported based on the existence or absence of donor-imposed restrictions.

Interpretation of Relevant Law

The Board of Trustees of the Foundation has interpreted the State Prudent Management of Institutional Funds Act (SPMIFA) as requiring the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. As a result of this interpretation, the Foundation classifies as permanently restricted net assets (a) the original value of gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment, and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund. The remaining portion of the donor-restricted endowment fund that is not classified in permanently restricted net assets is classified as temporarily restricted net assets until those amounts are appropriated for expenditure by the organization in a manner consistent with the standard of prudence prescribed by SPMIFA.

Funds with Deficiencies

From time to time, the fair value of the assets associated with the individual donor restricted endowment funds may fall below the level that the donor requires the Foundation to retain as a fund of perpetual duration. The Foundation did not have any deficiencies of this nature that would be required to be reported in unrestricted net assets for the years presented.

Return Objectives and Risk Parameters

The Foundation's endowment assets consist of real estate investments that were donated pursuant to a Carbon Sequestration Agreement. The Agreement requires the Arthur Temple College of Forestry (ATCOF) to serve as management supervisor of the real estate. Endowment assets include those assets of donor-restricted funds that the Foundation must hold to perpetuity. Any net profits the Foundation generates from the management of the forest will be used for scholarships, research, or educational programs (including carbon sequestration) solely in the ATCOF.

FINANCIAL STATEMENTS
WITH
INDEPENDENT AUDITORS' REPORT

STEPHEN F. AUSTIN STATE UNIVERSITY
ALUMNI ASSOCIATION, INC.
Nacogdoches, Texas

June 30, 2021 and 2020

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AXLEY&RODE LLP
CERTIFIED PUBLIC ACCOUNTANTS

INDEPENDENT AUDITORS' REPORT

Board of Directors
Stephen F. Austin State University
Alumni Association, Inc.
Nacogdoches, Texas

We have audited the accompanying financial statements of Stephen F. Austin State University Alumni Association, Inc. (the Association) (a nonprofit organization), which comprise the statements of financial position as of June 30, 2021 and 2020, and the related statements of activities, functional expenses and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the consolidated financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Stephen F. Austin State University Alumni Association, Inc. as of June 30, 2021 and 2020, and the changes in its net assets and cash flows for the years then ended, in accordance with accounting principles generally accepted in the United States of America.

Axley & Rode LLP
CERTIFIED PUBLIC ACCOUNTANTS

Lufkin, Texas
September 17, 2021

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
STATEMENTS OF FINANCIAL POSITION

	JUNE 30, 2021	JUNE 30, 2020
ASSETS		
Cash and Cash Equivalents:		
Cash in banks	$ 226 860	$ 131 375
Money market funds	142 280	266 037
TOTAL CASH AND CASH EQUIVALENTS	369 140	397 412
Accounts receivable - SFASU Foundation	-	2 106
Accounts receivable - Other	-	29 343
Accrued interest receivable	1 317	1 338
Prepaid expenses	1 242	456
Long-term investments (at fair value)	2 465 104	2 029 426
Furniture and Equipment:		
Furniture	56 705	56 705
Vehicles	10 200	10 200
Accumulated depreciation	(39 281)	(29 194)
NET FURNITURE AND EQUIPMENT	27 624	37 711
Other Assets:		
Cash and cash equivalents restricted by donors	11 898	22 199
Cash value of life insurance	109 546	106 095
TOTAL OTHER ASSETS	121 444	128 294
TOTAL ASSETS	$ 2 985 871	$ 2 626 086
LIABILITIES AND NET ASSETS		
Accounts payable	$ 43 046	$ 162 569
Due to SFASU Foundation	-	28 594
Unearned revenue	125 750	126 473
Other liabilities	-	2 844
TOTAL LIABILITIES	168 796	320 480
Net Assets:		
Without donor restrictions - Undesignated	243 738	(256 214)
Without donor restrictions - Board designated	1 652 462	1 634 095
With donor restrictions	920 875	927 725
TOTAL NET ASSETS	2 817 075	2 305 606
TOTAL LIABILITIES AND NET ASSETS	$ 2 985 871	$ 2 626 086

The accompanying notes are an integral part of these financial statements.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
STATEMENTS OF ACTIVITIES
For the Year Ended June 30, 2021 and 2020

	2021	2020
Changes in Net Assets Without Donor Restrictions:		
Revenues:		
Membership dues	$ 79 674	$ 80 700
Contributions	51 399	71 888
Affinity programs	92 044	109 153
Fund raising events	86 377	101 478
Management fee from SFASU Foundation	248 826	258 599
Sale of advertising in Sawdust Magazine	4 700	5 400
Sale of merchandise	8 361	9 053
Loss on equipment	-	(772)
Other income	-	6 910
TOTAL REVENUES	571 381	642 409
Investment income net of investment fees	454 591	(26 343)
TOTAL REVENUES AND GAINS	1 025 972	616 066
Net assets released from donor restrictions	926	5 076
TOTAL REVENUES, GAINS AND OTHER SUPPORT WITHOUT DONOR RESTRICTIONS	1 026 898	621 142
Expenses:		
Program services	360 455	476 908
Supporting services	95 931	128 249
Fund raising	52 193	197 268
TOTAL EXPENSES	508 579	802 425
CHANGE IN NET ASSETS WITHOUT DONOR RESTRICTIONS	518 319	(181 283)
Changes in Net Assets With Donor Restrictions:		
Fund raising events	(9 375)	6 971
Change in cash value of life insurance	3 451	3 231
Net assets released from restrictions	(926)	(5 076)
CHANGE IN NET ASSETS WITH DONOR RESTRICTION	(6 850)	5 126
INCREASE (DECREASE) IN NET ASSETS	511 469	(176 157)
Net assets, beginning of year	2 305 606	2 481 763
NET ASSETS, END OF YEAR	$ 2 817 075	$ 2 305 606

The accompanying notes are an integral part of these financial statements.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
STATEMENTS OF FUNCTIONAL EXPENSES
For the Years Ended June 30, 2021 and 2020

	2021	2020
Program Services:		
Salaries and benefits	$ 290 833	$ 322 027
Travel	7 230	27 547
Publication costs	14 576	57 074
Promotional expenses	11 165	23 536
Alumni website	21 662	21 913
Contributions and sponsorships	12 794	13 709
Other	2 195	11 102
TOTAL PROGRAM SERVICES	360 455	476 908
Supporting Services:		
Office expense	20 129	26 713
Merchandise cost	5 085	4 350
Postage and shipping	13 069	17 835
Telephone	1 800	10 382
Depreciation	10 087	7 885
Professional fees	20 865	28 939
Computer expense	8 855	13 144
Other	16 041	19 001
TOTAL SUPPORTING SERVICES	95 931	128 249
Fund Raising:		
Membership drive	1 015	2 467
Big dip and SFA ring week	12 905	4 420
Charter Chapter and LPN expenses	2 385	36 077
Fan bus	-	7 516
Tailgating	3 302	60 232
Senior send off	3 834	7 367
Tuition raffle	10 751	16 887
Homecoming expenses	7 698	20 165
Alumni awards	-	17 195
Other fund raising expenses	10 303	24 942
TOTAL FUND RAISING	52 193	197 268
TOTAL EXPENSES	$ 508 579	$ 802 425

The accompanying notes are an integral part of these financial statements.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
STATEMENTS OF CASH FLOWS

	FOR THE YEARS ENDED JUNE 30, 2021	2020
Cash Flows from Operating Activities:		
Change in net assets	$ 511 469	$ (176 157)
Adjustments to Reconcile Net Changes in Net Assets to Cash Provided by Operating Activities:		
Loss (gain) on sale of investments	(81 890)	(28 484)
Loss on disposal of equipment	-	772
Unrealized (gains) losses on investments	(327 318)	111 811
Depreciation expense	10 087	7 885
Add (Subtract) Changes in Accounts:		
Prepaid expenses	(786)	1 494
Cash value of life insurance	(3 451)	(3 231)
Annuities	6 769	(3 421)
Accounts receivable	31 449	132 327
Accrued interest receivable	21	466
Accounts payable	(150 961)	118 437
Due to SFA Alumni Foundation	-	19 839
Unearned income	(723)	126 473
NET CASH PROVIDED (USED) BY OPERATING ACTIVITIES	(5 334)	308 211
Cash Flows from Investing Activities:		
Proceeds from sale or maturity of investments	838 836	1 614 215
Purchases of investments	(872 075)	(1 554 855)
Purchase of furniture and equipment	-	(31 286)
NET CASH PROVIDED (USED) BY INVESTING ACTIVITIES	(33 239)	28 074
NET INCREASE (DECREASE) IN CASH AND CASH EQUIVALENTS	(38 573)	336 285
Cash and cash equivalents at beginning of year	419 611	83 326
CASH AND CASH EQUIVALENTS AT END OF YEAR	$ 381 038	$ 419 611

The Association has the following line items on the statement of financial position as of June 30, 2021 and 2020:

	2021	2020
Cash and cash equivalents	$ 369 140	$ 397 412
Cash and cash equivalents restricted by donors	11 898	22 199
	$ 381 038	$ 419 611

The accompanying notes are an integral part of these financial statements.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
NOTES TO FINANCIAL STATEMENTS

NOTE A - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Activities:

Stephen F. Austin State University Alumni Association (the "Association") is a Texas not-for-profit corporation organized to assist in promoting the welfare of Stephen F. Austin State University (the University) in Nacogdoches, Texas. The Association accomplishes its mission by maintaining lines of communication with former University students, publishing, and distributing the informative "Sawdust" magazine, encouraging alumni to give students priority in the hiring process, encouraging endowment and other gifts to the Alumni Foundation which provide scholarships and other aid to students and faculty, sponsoring programs that recognize the accomplishments of current and former students, and sponsoring events and receptions. Major sources of support include contributions, membership dues, fund-raising events, investment income, and affinity programs.

Basis of Accounting:

These financial statements are presented on the accrual basis of accounting, in accordance with U.S. generally accepted accounting principles for not-for-profit organizations.

Basis of Presentation:

The Association reports information regarding its financial position and activities according to two classes of net assets that are based upon the existence or absence of restrictions on use that are placed by its donors: net assets without donor restrictions and net assets with donor restrictions.

The governing board has designated, from net assets without donor restrictions, net assets for a board-designated endowment. Net assets with donor restrictions are subject to donor-imposed restrictions. Some donor-imposed restrictions are temporary in nature, such as those that will be met by the passage of time or other events specified by the donor. Other donor-imposed restrictions are perpetual in nature, such as those the donor stipulates that resources by maintained to perpetuity.

Net assets without donor restrictions are resources available to support operations and not subject to donor restrictions. The only limits on the use of net assets without donor restrictions are the broad limits resulting from the nature of the Association, the environment in which it operates, the purposes specified in its corporate documents and its application for tax-exempt status.

Net assets with donor restrictions are resources that are subject to donor-imposed restrictions. Some restrictions are temporary in nature, such as those that are restricted by a donor for use for a particular purpose or in a particular future period. Other restrictions may be perpetual in nature, such as those that are restricted by a donor that the resources by maintained in perpetuity.

The Association's donor-restricted endowment funds are classified in net assets with donor restrictions. When a donor's restriction is satisfied, either by using the resources in the manner specified by the donor or by the passage of time, the expiration of the restriction is reported in the financial statements by reclassifying the net assets from net asset with donor restrictions to net assets without donor restrictions.

Fixed Assets and Depreciation:

In accordance with generally accepted accounting principles for nonprofit organizations, expenditures for the acquisition of furniture and equipment are capitalized at cost. Depreciation is computed by the straight-line method over estimated useful lives, which range from three to ten years.

Use of Estimates:

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses and gains and losses during the reporting period. Actual results could differ from those estimates.

Cash and Cash Equivalents:

For purposes of the cash flow statement, the Association considers all investments with original maturities of less than three months to be cash equivalents, as well as cash in bank and money market funds.

Accounts Receivable:

Accounts receivable consists of amounts due from affinity programs and is stated at unpaid balances. It is the Association's policy to charge off uncollectible accounts receivable when management determines the receivable will not be collected. Amounts were determined to be collectible at June 30, 2021 and 2020.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
NOTES TO FINANCIAL STATEMENTS - CONTINUED

NOTE A - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES - CONTINUED

Federal Income Tax:

The Internal Revenue Service has determined that the Association is exempt from Federal income tax under Section 501(c)(3) of the Internal Revenue Code. In addition, the Service has determined that the Association is not a "private foundation" within the meaning of Section 509(a) of the Internal Revenue Code. Form 990 is filed annually.

Investments:

Investments in marketable equity securities and debt securities are stated at fair value. Fair values are determined by reference to quoted market prices. Realized gains and losses are determined using the specific identification method for investments in marketable debt securities, and the first-in, first-out (FIFO) method is used for mutual fund and marketable equity securities. Donated investments are recorded at fair value at the time received. Unrealized gains and losses are included in the change in net assets as part of investment income net of investment fees in the accompanying statement of activities. Investments in annuity and life insurance contracts are carried at cost, and adjusted annually for guaranteed increases in net surrender values. Investment income is accrued as earned and reported net of investment advisory fees.

The Association has significant exposure to a number of risks including interest, market and credit risks for its investment securities. Due to the level of risk exposure, it is possible that near-term valuation changes for investment securities may occur to an extent that could materially affect the amounts reported in the financial statements.

Fair Value Measurements:

Current professional standards define fair value as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. Fair value should be based on assumptions that market participants would use, including a consideration of non-performance risk. Management assesses the inputs used to measure fair value using a three-tier hierarchy based on the extent to which inputs used in measuring fair value are observable in the market. Level 1 inputs are quoted market prices for identical instruments in an active market that the entity has the ability to access and are the most observable. Level 2 inputs include quoted market prices for similar assets and observable inputs such as interest rates, currency exchange rates, commodity rates, and yield curves. Level 3 inputs are not observable in the market and include management's judgments about the assumptions market participants would use in pricing the asset or liability.

Affinity Programs:

Income from the affinity programs is recognized in the period earned.

Compensated Absences:

The Association allows full-time employees to accumulate vacation leave and comp time. The Association is billed by the University annually for the Association's portion of compensated absences. Since the Association pays the liability annually, there was no liability for compensated absences at June 30, 2021. The cost of compensated absences is recognized as salaries and benefits.

Advertising:

The Association expenses all advertising costs when incurred. For 2021 and 2020, advertising and community relations expenses amounted to $11,165 and $23,536, respectively.

Uncertain Tax Positions:

FASB Codification Section 740 requires recognition, measurement and disclosure of uncertain tax positions. The Association accounts for uncertain tax positions based on the estimated likelihood of assessment and have not determined that any tax positions require an accrual based on current standards of accounting. The Association is generally no longer subject to Federal tax examinations for years before 2017.

Subsequent Events:

Management has evaluated subsequent events through September 17, 2021, the date of the financial statements were available to be issued.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
NOTES TO FINANCIAL STATEMENTS - CONTINUED

NOTE C - INVESTMENTS

The Association maintains a pool of investments that includes investments designated for life memberships, affinity card advances, and awards endowments. All realized and unrealized earnings of the investment pool are considered unrestricted. The portfolio is summarized as follows:

	COST	MARKET VALUE
Investments at June 30, 2021:		
U.S. Government securities	$ 192 139	$ 194 265
Corporate bonds	101 951	103 641
Marketable equity securities	570 635	684 613
Mutual funds	943 626	1 153 255
Annuities	407 000	329 330
TOTAL	$ 2 215 351	$ 2 465 104

	COST	MARKET VALUE
Investments at June 30, 2020:		
U.S. Government securities	$ 155 829	$ 165 256
Corporate bonds	71 394	76 644
Marketable equity securities	515 443	500 940
Mutual funds	952 645	950 487
Annuities	407 000	336 099
TOTAL	$ 2 102 311	$ 2 029 426

Income from investments for the years ended June 30, 2021 and 2020 are summarized as follows:

	2021	2020
Interest and dividends	$ 47 701	$ 49 183
Annuity income	12 000	12 000
Realized gain (loss) on sale on investments	81 890	28 484
Management fees	(7 549)	(7 620)
TOTAL REALIZED INVESTMENT INCOME	134 042	82 047
Unrealized gain (loss) on investments	327 318	(111 811)
Change in value of annuities	(6 769)	3 421
NET INVESTMENT INCOME (LOSS)	$ 454 591	$ (26 343)

NOTE D - FAIR VALUE MEASUREMENTS

The Association's investments are reported at fair value in the accompanying statement of financial position. The methods used to measure fair value may produce an amount that may not be indicative of net realizable value or reflective of future fair values. Furthermore, although the Association believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

The fair value measurements authoritative literature establishes a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy consists of three broad levels: Level 1, Level 2, and Level 3. The Association uses appropriate valuation techniques based on the available inputs to measure fair value of its investments. When available, the Association measures fair value using Level 1 inputs because they generally provide the most reliable evidence of fair value. Level 3 inputs were used only when Level 1 or Level 2 inputs were not available. The three levels of fair value hierarchy are as follows:

Level 1 inputs are unadjusted quoted prices in active markets for identical assets or liabilities that the Foundation has the ability to access at the measurement date. The fair value of mutual funds is based on quoted net asset values of the shares held by the Foundation at year-end. The fair values of the marketable equity securities, corporate bonds, and U.S. government securities are based on quoted net asset value of the shares held by the Foundation at year-end.

Level 2 inputs are inputs other than quoted prices included within Level 1 that are observable for valuing the asset or liability, either directly or indirectly, including quoted prices for similar securities, interest rates, prepayment speeds, credit risk, etc. The fair values of mortgage backed securities are based on a discounted cash flow analysis based on observable inputs. These inputs include market quotes for similar instruments, current market yields and offering sheets.

Level 3 are inputs that are unobservable inputs for the asset or liability. Investments whose values are classified as Level 3 prices have significant unobservable inputs, as they may trade infrequently or not at all. When observable prices are not available for these securities, the funds use one or more valuation techniques for which sufficient and reliable data is available. The annuity is not actively traded and significant other observable inputs are not available. Thus, the fair value of the annuity is determined by discounting the related cash flows based on current yields of similar instruments with comparable durations.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
NOTES TO FINANCIAL STATEMENTS - CONTINUED

NOTE D - FAIR VALUE MEASUREMENTS - CONTINUED

The Association's investments are reported at fair value in the accompanying statements of net position.

		FAIR VALUE MEASUREMENTS AT REPORTING DATE USING		
JUNE 30, 2021	FAIR VALUE	QUOTED PRICES IN ACTIVE MARKETS FOR IDENTICAL ASSETS/ LIABILITIES (LEVEL 1)	SIGNIFICANT OTHER OBSERVABLE INPUTS (LEVEL 2)	SIGNIFICANT UNOBSERVABLE INPUTS (LEVEL 3)
Government Securities	$ 194 265	$ 194 265	$ -	$ -
Corporate Bonds	$ 103 641	$ 103 641	$ -	$ -
Equity Securities	$ 684 613	$ 684 613	$ -	$ -
Mutual Funds	$ 1 153 255	$ 1 153 255	$ -	$ -
Annuity	$ 329 330	$ -	$ -	$ 329 330
JUNE 30, 2020				
Government Securities	$ 165 256	$ 165 256	$ -	$ -
Corporate Bonds	$ 76 644	$ 76 644	$ -	$ -
Equity Securities	$ 500 940	$ 500 940	$ -	$ -
Mutual Funds	$ 950 487	$ 950 487	$ -	$ -
Annuity	$ 336 099	$ -	$ -	$ 336 099

There were no transfers between Level 1 and Level 2 for the periods presented.

The following table provides further details of the Level 3 fair value measurements.

	ANNUITY
Balance June 30, 2019	$ 332 678
Total gains or losses (realized or unrealized) included in changes in net assets available for benefits	3 421
Purchases, Sales, Issuances and Settlements:	
Purchases	-
Issues	-
Sales	-
Settlements	-
Balance June 30, 2020	336 099
Total gains or losses (realized or unrealized) included in changes in net assets available for benefits	(6 769)
Purchases, Sales, Issuances and Settlements (Net):	
Purchases	-
Issues	-
Sales	-
Settlements	-
Balance June 30, 2021	$ 329 330

	2021	2020
The amount of total gains and (losses) for the year included in change in net assets attributable to the changes in unrealized gains or (losses) relating to assets held at the end of the reporting period	$ (6 769)	$ 3 421

Gains and losses included in statement of activities for the years presented are reported in investment income (loss), net of investment fees.

NOTE E - CASH VALUE OF LIFE INSURANCE POLICIES

To provide long-term support for the Association, donors have contributed life insurance policies (with face amounts totaling $295,000 for each of the years presented) in which the Association is both the owner and beneficiary of the proceeds. Donors continue to fund the policies, which increases their cash value. The cash value is recorded as an asset, with the net change in cash value being recorded as an offsetting entry to change in value of life insurance. The net increase in cash value was $3,451 and $3,231 for the years ended June 30, 2021 and 2020, respectively.

NOTE F - TRANSACTIONS WITH STEPHEN F. AUSTIN STATE UNIVERSITY FOUNDATION

The Association receives a management fee from the University Foundation. The University Foundation paid a management fee to the Association in the amount of $248,919 in the first quarter of 2021 for the calendar year of 2021. The Association recorded approximately half of the annual payment $125,750 as deferred revenue at June 30, 2021.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
NOTES TO FINANCIAL STATEMENTS - CONTINUED

NOTE G - TRANSACTIONS WITH STEPHEN F. AUSTIN STATE UNIVERSITY

All of the Association's staff is considered employees of the University. Salaries, payroll taxes, retirement, health insurance, and other benefits are paid and reported to authorities by the University. Since the amounts paid by the University do not pay for all the Association's salaries and benefits, the remaining costs of staff salaries and benefits are charged to and paid by the Association (see salaries and benefits on the statement of functional expenses). The amount of salaries and benefits paid by the University amounted to approximately $276,000 and $309,000 for the years ending June 30, 2021 and 2020, respectively and is not included in salaries and benefits on the statements of functional expenses. The Association makes periodic reimbursements to a special University account to pay the supplemental salaries. The Association owed the University for $24,863 and $76,119 at June 30, 2021 and 2020, respectively and is included in accounts payable on the statements of financial position.

The Association is charged for its use of University services. The Association owed the University $-0- and $76,272- at June 30, 2021 and 2020, respectively and is included in accounts payable on the statements of financial position.

No time and effort studies have been performed which could accurately allocate the payroll costs between the Alumni Association and the University. Furthermore, many activities (such as maintaining a donor database) benefit all three organizations, and time spent in such functions cannot be allocated using time and effort studies. Consequently, only the amount of payroll costs actually charged to the Association by the University has been shown as an expense in these financial statements.

In past and current years, the Association raised funds to finance the construction of the office space which it now occupies. The Association donated all construction to the University. The Association now uses this office space without charge. The rental value of the office space has not been determined and is not recorded in these financial statements.

NOTE H - FUND RAISING EVENTS

The Association conducts several fund raising events throughout the year to provide additional funding of endowments and promote the University. These events generated total revenues of $86,377 and $101,478 and costs of $52,193 and $197,268; resulting in net proceeds/(expense) of $34,184 and $(95,790) for the years ended June 30, 2021 and 2020, respectively.

NOTE I - NET ASSETS WITHOUT DONOR RESTRICTIONS

The Board voted to establish a life member endowment, which is shown as net assets without donor restrictions - board designated on the statement of financial position. The life member endowment represents the life membership dues collected by the Association. The earnings from the life member endowment are used to fund the operations of the Association. The following represents the activity in net assets without donor restrictions:

	UNDESIGNATED	BOARD DESIGNATED	TOTAL
Balance, June 30, 2019	$ (13 496)	$ 1 622 243	$ 1 608 747
Life membership dues	-	11 852	11 852
Change in net assets	(242 718)	-	(242 718)
Balance, June 30, 2020	(256 214)	1 634 095	1 377 881
Life membership dues	-	18 367	18 367
Change in net assets	499 952	-	499 952
Balance, June 30, 2021	$ 243 738	$ 1 652 462	$ 1 896 200

NOTE J - NET ASSETS WITH DONOR RESTRICTIONS

Net assets with donor restrictions consist of life insurance policies donated, funds collected and used for the Lettermen's Association and permanent endowments. Funds received for the Lettermen's may only be spent to further the purposes of that association, which is directed by a separate management group.

The net assets with donor restrictions are summarized as follows:

	JUNE 30, 2021	JUNE 30, 2020
Cash value of life insurance policies	$ 109 546	$ 106 095
Lettermen's Association	-	10 388
Lumberjack Marching Band Alumni	6 592	7 092
YXYW2SFA	587	-
Panola Charter Chapter	4 719	4 719
Permanent endowment funds	799 431	799 431
TOTAL	$ 920 875	$ 927 725

NOTE K - ENDOWMENTS

The Association's endowments consist of both donor-restricted endowment funds and fund designated by the Board of Trustees to function as endowments. As required by GAAP, net assets associated with endowment funds, including funds designated by the Board of Trustees to function as endowments, are classified and reported based on the existence or absence of donor-imposed restrictions.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
NOTES TO FINANCIAL STATEMENTS - CONTINUED

NOTE K - ENDOWMENTS - CONTINUED

Interpretation of Relevant Law

The Board of Trustees of the Association has interpreted the State Prudent Management of Institutional Funds Act (SPMIFA) as requiring the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. As a result of this interpretation, the Association classifies as net assets with donor restrictions (a) the original value of gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment, and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund.

Endowment Net Asset Composition by Type of Fund as of June 30, 2021:

	WITHOUT DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS	TOTAL
Donor-restricted endowment funds	$ -	$ 799 431	$ 799 431
Board-designated endowment funds	1 652 462	-	1 652 462
	$ 1 652 462	$ 799 431	$ 2 451 893

Changes in Endowment Net Assets for the Fiscal Year Ended June 30, 2021:

	WITHOUT DONOR RESTRICTIONS	WITH DONOR RESTRICTIONS	TOTAL
Endowment net assets, beginning of year	$ 1 634 095	$ 799 431	$ 2 433 526
Life membership dues	18 367	-	18 367
ENDOWMENT NET ASSETS, END OF YEAR	$ 1 652 462	$ 799 431	$ 2 451 893

Funds with Deficiencies

From time to time, the fair value of the assets associated with the individual donor restricted endowment funds may fall below the level that the donor requires the Association to retain as a fund of perpetual duration. In accordance with GAAP, deficiencies of this nature that are reported in unrestricted net assets were $-0- at June 30, 2021 and 2020.

Return Objectives and Risk Parameters

The Association has adopted investment and spending policies for endowment assets that attempt to provide a stable source of perpetual financial support by its endowments while seeking to maintain the purchasing power of the endowment assets. Endowment assets include those assets of donor-restricted funds that the Association must hold to perpetuity.

Strategies Employed for Achieving Objectives

To satisfy its long-term rate-of-return objectives, the Association relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized) and current yield (interest and dividends). The Association targets a diversified asset allocation that places a greater emphasis on equity-based investments to achieve its long-term return objectives within prudent risk constraints.

NOTE L - CONCENTRATION RISK

The Association maintains its cash balances with banks and brokerage firms. The cash balances at banks are insured by the Federal Deposit Insurance Corporation (FDIC) up to $250,000. The Association's bank balances did not exceed the FDIC limits for the years presented.

The Association receives substantial funding from the University and from former students of the University. A significant reduction of this funding would require changes in staffing and activity levels of the Association.

NOTE M - LIQUIDITY

The Association's primary liquidity resources are membership dues, contributions, affinity programs and management fees. As part of the Association's liquidity management, it invests cash in excess of daily requirements in short-term investments, typically money market funds.

STEPHEN F. AUSTIN STATE UNIVERSITY ALUMNI ASSOCIATION, INC.
NOTES TO FINANCIAL STATEMENTS - CONTINUED

NOTE M - LIQUIDITY - CONTINUED

The following reflects the Association's financial assets as of June 30, 2021 and 2020, reduced by amounts not available for general use within one year because of contractual or donor-imposed restrictions or internal designations.

	2021	2020
Financial assets, at end of year	$ 2 958 247	$ 2 588 375
Less Those Unavailable for General Expenditures Within One Year Due to Contractual or Donor Imposed Restrictions:		
Contractual or Donor Imposed Restrictions:		
Endowment fund	(799 431)	(799 431)
Cash value of life insurance	(109 546)	(106 095)
Lettermen fund	-	(10 388)
Lumberjack Marching Bank fund	(6 592)	(7 092)
YXYW2SFA	(587)	-
Panola Charter Chapter fund	(4 719)	(4 719)
Board Designations:		
Quasi-endowment to support operations	(1 652 462)	(1 634 095)
FINANCIAL ASSETS AVAILABLE TO MEET CASH NEEDS FOR GENERAL EXPENDITURES WITHIN ONE YEAR	$ 384 910	$ 26 555

FINANCIAL AFFAIRS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Finance and Audit Committee will consider: budgeting and appropriations request processes; all requests for appropriations and budgets covering expenditures of educational and general funds and auxiliary programs including, but not limited to, student housing and the athletic department; handling of university funds, depositories, etc., whether from appropriated or contributed funds; and the auditing function of the university including, but not limited to, annual audit plan, internal and external audit reports, risk assessment, and audit/compliance issues.

The following policies are necessary to incorporate organizational, job title, and regulatory changes and to improve the flow of information in the above areas of responsibility. The general counsel has reviewed the proposed revisions.

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented:

Delegated Purchasing Authority 17.5
Expenditure of Higher Education Funds 3.32*
Investments 3.21
Investments-Endowment Funds 3.20
Withdrawal Without Financial Clearance 6.22

*Note: New Policy

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Delegated Purchasing Authority

Policy Number: 17.5

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

Date of last revision, if applicable: 4/20/2021

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

Purpose of Policy (what does it do): This policy supports the university's centralized purchasing function but provides for specific delegations outside of the procurement office and also describes the handling of unauthorized purchases.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Revise approval for unauthorized purchases

Specific rationale for deletion of policy: NA

Additional Comments:

Reviewers:

Judi Kruwell, Interim Vice President for Finance and Administration
Jennifer McCall, Director of Procurement and Business Services/HUB Coordinator
Damon Derrick, General Counsel

Delegated Purchasing Authority

Original Implementation: Unpublished
Last Revision: *February 1, 2022* ~~April 20, 2021~~

Purpose

This policy supports the university's centralized purchasing function but provides for specific delegations outside of the procurement office and also describes the handling of unauthorized purchases.

Definitions

Account Manager is defined as a department head (including department chairs, division heads, and all deans or designees) and/or a financial manager.

Centralized purchasing requires the various departments and operational units of the university to make purchases utilizing the knowledge and experience of the procurement department.

An **unauthorized purchase** occurs when a university employee orders a product or service without an authorized purchase order issued by the procurement department *and the purchase is also not specifically delegated under proper administrative approval.* ~~.~~

General

The university adheres to a policy of centralized purchasing for the purposes of:

- ensuring compliance with state and federal laws, rules, and regulations;
- protecting the university from unauthorized acquisitions of supplies, equipment, and services;
- providing budgetary control and coordination;
- ensuring fair and ethical business practices;
- providing savings through consolidation of requirements and standardization of products where appropriate;
- providing Best Value Procurement (17.1) through various purchasing methods.

The procurement department, under supervision of the director of procurement and *business services*~~property services~~/HUB coordinator, has sole authority for the negotiation and purchase of all goods and services for the university with the exception of items listed in Items Requiring Board of Regents Approval (1.4), and the following specific delegations that exist under proper administrative approval:

- The director of the university libraries is authorized to purchase books, periodicals, journals, and other related materials needed to maintain university resource collections; and the curator of the Stone Fort Museum is authorized to purchase general merchandise for resale in the museum gift shop;
- Employees are authorized to make procurement card purchases in accordance with Procurement Card (17.11), and procurement card procedures maintained on the procurement department website;
- Employees ~~without procurement cards~~ may make purchases and request reimbursement if the purchase is approved by the account manager, follows university procurement policy and procedure, and other purchase options are not possible or available (taxes will not be reimbursed, except as allowed by law);
- Certain *direct pay disbursements* ~~payments~~ may be made *as outlined in* ~~by completing a voucher for submission to the controller's office.~~ Direct Pay Disbursements (17.20).~~, provides guidelines for purchase voucher use.~~

A memorandum of delegated purchasing authority is authorized by the President pursuant to Contracting Authority (1.3). Account managers may approve purchases of goods and services subject to policies and procedures.

All other purchases are to be submitted as a formal request for the procurement office to secure a good or service.

All official correspondence other than that delegated above; i.e., solicitations, purchase orders, change orders, cancellations, etc. shall be issued by the procurement office. The director of procurement and *business services*~~property services~~/HUB coordinator is delegated authority to sign all titles and associated documents for the purchase, transfer, or sale of vehicles, trailers, or marine equipment.

Purchases will be subject to Contracting Authority (1.3).

Unauthorized Purchases Made Outside of Delegated Authority

Unauthorized purchases will include inappropriate reimbursement requests that fall outside the scope of university procurement policy and procedure. Except as delegated herein, university employees are not authorized to commit to an expenditure of funds on behalf of the university.

Unauthorized purchases over $5,000 will not be paid by the university unless a justification is submitted to the *director of procurement and business services/HUB coordinator and may also be subject to* vice president for finance and administration ~~for~~ review. If approved, the appropriate

documentation and payment approval must be submitted to the procurement office to process a purchase order for the unauthorized purchase. *S*~~, and s~~tate appropriated funds may not be used to pay for the service or product unless approved by the vice president for finance and administration. If the unauthorized purchase is not approved, ~~by the vice president for finance and administration,~~ the employee will be responsible for payment to the vendor unless the order can be cancelled and/or the goods returned. Any freight, shipping costs, or return penalties will be paid by the employee in the event the order is cancelled and/or the goods returned to the vendor.

The following circumstances will not constitute an unauthorized purchase; however, a requisition must be entered in the university's financial system at the earliest practical date so that payment is not delayed resulting in possible late fees:

- emergency purchases as defined by Best Value Procurement (17.1);
- memberships;
- purchases that were to be made with a procurement card that reasonably could have been expected to be less than $5,000;
- magazine or book subscriptions;
- other automatically recurring or renewable fees;
- purchases associated with existing contracts negotiated by the procurement office;
- tournament fees or game guarantees;
- guest lecturers, speakers, artists, entertainers, performers, musicians if the contract is signed by the president or authorized designee prior to the event;
- other professional services as defined by state comptroller's expenditure codes, if the contract is signed by the president or authorized designee prior to the event; and
- service contracts associated with grants as long as the contract is in process with office of research and graduate studies.

Cross Reference: Contracting Authority (1.3); Items Requiring Board of Regents Approval (1.4); Best Value Procurement (17.1); Direct Pay Disbursements (17.20); Procurement Card (17.11)

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: Memorandum of Delegated Purchasing Authority

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Expenditure of Higher Education Funds

Policy Number: 3.32

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

Date of last revision, if applicable:

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

Purpose of Policy (what does it do): This policy establishes guidelines covering the allocation, management, budgeting, expenditures, and related restrictions for the appropriate use of Higher Education Funds (HEF) appropriated to Stephen F. Austin State University. These guidelines apply to use of the HEF funds by departments of the university.

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

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

☐ Internal Review ☒ Other, please explain: New policy

Please complete the appropriate section:

Specific rationale for new policy: Created policy to document guidelines for HEF expenditures and delegated purchasing authority for changes to HEF allcoations.

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Expenditure of Higher Education Funds

Original Implementation: February 1, 2022
Last Revision: N/A

Purpose

This policy establishes guidelines covering the allocation, management, budgeting, expenditures, and related restrictions for the appropriate use of Higher Education Funds (HEF) appropriated to Stephen F. Austin State University. These guidelines apply to use of HEF funds by departments of the university.

Definition

Higher Education Fund (HEF) - permanent capital funding provided under Article VII, Section 17, of the Texas Constitution. These funds are General Revenue funds that must reside in and be expended from the State Treasury.

General

An annual appropriation of funds under the Texas Constitution to eligible institutions of higher education is determined by the Texas Legislative Budget Board (LBB) for 10-year periods and subject to review and revision at the end of each five years.

The HEF expenditure budgets are determined along with the annual operating budget process and approved by the board of regents annually. Changes to the HEF expenditure budgets are governed by SFASU Policy 1.4, Items Requiring Board of Regents Approval, and are presented to the board or regents at each quarterly meeting.

The university will establish Higher Education Fund (HEF) Guidelines that articulate the purposes for which HEF can be expended, define expenditure categories with indications of HEF eligibility, list examples of HEF eligible expenditures, and explain other restrictions related to the use of these funds.

Cross Reference: Tex. Const. Art. VII, §17; Items Requiring Board of Regents Approval (1.4); Annual Budget Preparation (3.2)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Associate Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Investments

Policy Number: 3.21

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

Date of last revision, if applicable: 2/2/2021

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

Purpose of Policy (what does it do): This policy applies to all Stephen F. Austin State University operating funds, quasi-endowment funds, and bond proceeds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act (PFIA), and certain portions of the Texas Education Code. The policy states the goals and objectives in the investment of these assets and is intended to provide guidance in the management of the assets. Endowment funds are invested in accordance with Investments – Endowment Funds policy (3.20) approved by the Board of Regents (board) annually.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Minor changes for clarification.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Investments

Original Implementation: April 30, 1996
Last Revision: February *1*~~2~~, 2022~~1~~

Purpose

This policy applies to all Stephen F. Austin State University operating funds, quasi-endowment funds, and bond proceeds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act (PFIA), and certain portions of the Texas Education Code. The policy states the goals and objectives in the investment of these assets and is intended to provide guidance in the management of the assets. Endowment funds are invested in accordance with Investments – Endowment Funds policy (3.20) approved by the Board of Regents (board) annually.

Definitions

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

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

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

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

Investment Officers *include the university's vice president for finance and administration, the associate vice president of financial and administrative services, the director of treasury and student business services, and other employees as designated in writing by the university's vice president for finance and administration including an employee temporarily holding one of those positions in an acting or an interim role.*

General

Stephen F. Austin State University invests the public funds in its custody with primary emphasis on the preservation and safety of the principal amount of the investment. 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.

Investment Objectives

The foremost objective of all investment decisions shall be safety of principal. All investments must be undertaken with the fiduciary responsibility associated with that of a reasonable and prudent person. Investments must be in accord with Texas law. Investment maturity must be diversified to match the university's liquidity requirements and to meet all reasonably anticipated operating requirements. Investments shall incur no unreasonable risk in order to maximize potential income. Investments may be diversified in order to respond to changing economic and/or market conditions. No investments within the portfolio or investment practices conducted to effect investment activities shall violate the terms of this policy.

Investment Strategy

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

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

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

Investment Authority

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

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

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

Investment Responsibilities

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

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

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

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

Prudence

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

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

Investment Guidelines

Authorized Investments: All university funds and funds held in trust for others may be invested in the securities listed below and/or pooled with another institution of higher education as authorized in Texas Education Code Sec. 51.0031. The university is not required to liquidate investments that were authorized investments at the time of purchase. For investments exclusive of funds authorized by Sec. 51.0031, credit rating requirements will be monitored at least monthly. If or when a rating drops below the established minimum or when an investment is no longer authorized, that

investment will be liquidated as soon as prudently possible.

Authorized securities include:

a. obligations, including letters of credit, of the United States, 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, the underlying security for which is guaranteed by an agency or instrumentality of the United States;
d. other obligations, the principal and interest of which are unconditionally guaranteed or insured by, or backed by the full faith and credit of, the state of Texas or the United States or their respective agencies and instrumentalities, including obligations that are fully guaranteed or insured by the Federal Deposit Insurance Corporation or by the explicit full faith and credit of the United States;
e. obligations of states, agencies, counties, cities, and other political subdivisions of any state rated as to investment quality by a nationally recognized investment rating firm of not less than A or its equivalent;
f. interest-bearing banking deposits that conform to Sections 2256.009(7) and 2256.009(8) of the Texas Government code;
g. certificates of deposit and share certificates issued by a depository institution that conforms to Section 2256.010 of the Texas Government Code;
h. fully collateralized repurchase agreements that conform to Section 2256.011 of the Texas Government Code;
i. bankers' acceptances that conform to Section 2256.012 of the Texas Government Code;
j. commercial paper that conforms to Section 2256.013 of the Texas Government Code;
k. no-load money market mutual funds and no-load mutual funds registered and regulated by the Securities and Exchange Commission and conform to Section 2256.014 of the Government Code;
l. guaranteed investment contracts that conform to Section 2256.015 of the Government Code;
m. investment pools that conform to Sections 2256.016 and 2256.019 of the Government Code;
n. 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));
o. 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;
p. corporate bonds, debentures, or similar debt obligations rated by a nationally recognized investment rating firm in one of the two highest long-term rating categories, without regard to gradations within those categories.

Unauthorized Investments: The following investments are prohibited:

a. 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.

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

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

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

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

Credit risk is the risk that an issuer or counterparty to the investment will not fulfill its obligations

to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. To limit credit risk, this policy limits investments in corporate bonds, debentures or similar debt obligation to the two highest long-term rating categories.

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

Collateral Defined: The university shall accept only the following securities as collateral:

a. FDIC insurance coverage;
b. United States Treasury, Agency, or Instrumentality securities;
c. Direct obligations of the state of Texas or its agencies and instrumentalities;
d. Other obligations, the principal of and interest on which are unconditionally guaranteed or insured by the state of Texas or the United States;
e. Obligations of states, agencies thereof, counties, cities, and other political subdivisions of any state having been rated as to investment quality by a nationally recognized investment rating firm and having received a rating of no less than A or its equivalent;
f. Collateralized mortgage obligations (CMO) directly issued by a federal agency or instrumentality of the United States, the underlying security for which is guaranteed by an agency or instrumentality of the United States. CMO must have a stated final maturity date of less than 10 years.

Authorized Financial Dealers and Institutions

Investment transactions (bids and offers) will occur only between the university and board authorized broker/dealers or institutions authorized by Texas Education Code Sec.51.0031. The board shall adopt a list of approved qualified brokers that are authorized to engage in investment transactions with the university. This list shall be reviewed and revised at least annually.

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

Securities may not be bought from any organization whose representative has not provided the university with the acknowledgment required in the above paragraph. Funds invested with institutions authorized by Texas Education Code Sec. 51.0031, will be invested pursuant to the qualifying institution's investment policy.

Competitive quotes must be taken from at least three qualifying institutions for all individual security purchases and sales (excluding transactions with money market mutual funds, local government investment pools and when issued securities are deemed to be made at prevailing market rates).

External Financial Advisor Contract Renewal or Extension

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

Disclosure Requirements for Outside Financial Advisor

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

Performance Evaluation

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

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

Internal Controls

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

Disclosure Requirements for Investment Officers

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

- 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;
- 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
- the investment officer has acquired from the business organization during the previous year investments with a book value of $2,500 or more for the personal account of the investment officer.

Training

Each member of the board and investment officer shall attend at least one training session within six months after taking office or assuming duties relating to investment responsibilities as required by Section 2256.007 of the Texas Government Code. The primary investment officers shall attend ~~not less than once each state fiscal biennium~~ an investment training session relating to investment responsibilities from an independent source *not less than once each state fiscal biennium*. Training for the investment officer(s) will be conducted by an organization or firm that is approved by the board. The approved independent sources include:

- Texas Higher Education Coordinating Board
- Center for Public Management at the University of North Texas
- Government Treasurer's Organization of Texas
- PFM Asset Management LLC

The university may provide other training in investments in order to insure the quality and capability of the university's investment *officers* ~~personnel~~ to make investment decisions in compliance with the PFIA.

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

The board shall review this investment policy and investment strategies not less than annually. The board shall adopt a written instrument by rule, order, ordinance, or resolution stating that it has reviewed the investment policy and investment strategies and that the written instrument so adopted shall record any changes made to either the investment policy or investment strategies.

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

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: *Director of Treasury and Student Business Services*~~Vice President for Finance and Administration~~

Forms: None

Board Committee Assignment: Finance and Audit

APPENDIX A
INTERNAL CONTROLS

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

APPENDIX B
ADMINISTRATIVE PROCEDURES

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

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Investments- Endowment Funds

Policy Number: 3.20

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

Date of last revision, if applicable: 2/2/2021

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

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

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Minor changes for clarifications.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Investments–Endowment Funds

Original Implementation: Unpublished
Last Revision: February *1, 2022*~~2, 2021~~

Purpose

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

Definitions

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

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

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

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

Investment Officers *include the university's vice president for finance and administration, the associate vice president of financial and administrative services, the director of treasury and student business services, and other employees as designated in writing by the university's vice president for finance and administration including an employee temporarily holding one of those positions in an acting or an interim role.*

General

Endowment funds represent private funds given to the university by individuals or 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.

University endowment funds are not considered to be public funds but instead are governed by Section

51.0031 of the Texas Education Code. This section of the Texas Education Code states that the university "... with regard to donations, gifts and trusts, may establish endowment funds that operate as trusts and are managed under prudent person standards".

Investment Objectives

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

Investment Risk Tolerance

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

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

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

Prudence

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

Responsibility and Delegation of Authority

As provided in the Texas Education Code, each member of the Board of Regents (board[GO1]) has the legal responsibilities of a fiduciary in the management of funds under the control of the university. The board recognizes its responsibility to ensure that the assets of the endowment funds are managed for the exclusive benefit of the university in accordance with its donors' intentions, effectively and prudently, in full compliance with all applicable laws.

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

The Board

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

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

University Administration

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

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

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

Qualifying Institution

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

Investment Consultant

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

Specifically, the consultant will:

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

Investment Managers

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

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

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

The investment manager(s) will:

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

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

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

Investment Policy Guidelines

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

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

a. Direct obligations of the United States government or its direct agencies.
b. Direct obligations of federally-sponsored agencies in accordance with the above paragraph.
c. Obligations of states, agencies, counties, cities, and other political subdivisions of any state in accordance with the above paragraph.
d. United States dollar denominated bonds, debentures, or commercial paper and convertible securities issued by corporations in accordance with the above paragraph.
e. Debentures or obligations, and preferred or common stock of international governments and corporations. International preferred and common stock issues must be listed on an organized stock exchange.
f. Common stock and preferred stock issued by United States domiciled corporations and common stocks of international companies listed on the major U.S. or international security exchanges.
g. Certificates of Deposit issued by federally insured state banks, federally insured savings and loan associations and saving banks or federally insured credit unions. Amounts over the insurance limit of the institutions must be secured by pledged securities.
h. Bankers' acceptances accepted by a bank organized and existing under laws of the United States or any state in accordance with the above paragraph.
i. Money Market Mutual Funds. Funds must be registered with the Securities and Exchange Commission, have a maximum dollar weighted average maturity of no longer than l3 months, and be no-load funds. Funds must have assets consisting of securities described in the paragraphs above and seek to maintain a stable net asset value of $1.00 per share (or unit).
j. Mutual Funds. Funds must be registered with the Securities and Exchange Commission and invest in assets authorized under this policy.
k. Direct Security Repurchase Agreements. Direct Repos must be fully secured (collateralized) by securities authorized under the sections (a) through (g) above. Such collateral must be held by a third party. All agreements will comply with Federal Reserve Bank guidelines.

l. Shares of investment companies as defined by the Investment Company Act of l940. These companies include both closed-end investment companies and open-end investment companies (mutual funds). Shares in these companies may be purchased if they own securities described in sections (a) through (j) above.
m. Shares of Exchange Traded Funds, known as ETFs.
n. No more than ten percent (10%) of the equity portfolio can be invested at any time in one company based on the market value of the stock and portfolio.
o. No more than thirty percent (30%) of the equity portfolio can be invested in any one industry sector based on the market value of the portfolio.
p. Alternative investments. Permitted alternative investments may include hedge funds, managed futures funds, private equity funds, or real estate. Hedge funds are not subject to limitations of the "Prohibited Investment" section below. Investments in other strategies shall be reviewed and recommended by the investment officer prior to purchase.
q. Permitted alternative investments in the portfolio are limited to diversified commingled trust fund vehicles or limited partnerships offered through a third party distribution channel, such as what is offered through many broker-dealer firms.
r. Permitted alternative investments in the portfolio are limited to investment vehicles that offer the ability for the portfolio to make contributions or receive distributions at least quarterly (but preferably monthly) without restriction or incurring additional fees.
s. The portfolio shall emphasize investments in fund-of-fund vehicles that are diversified by investment style and typically utilize multiple investment managers within a fund.

Unauthorized Investments

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

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

Asset Allocation

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

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

The allowable asset mix for fixed income and equities is:

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

International Equity	0.0%	30.0%

Interest Rate, Credit and Foreign Currency Risks

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

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

Foreign currency risk is the risk that changes in exchange rates will adversely affect the fair value of investment. In order to mitigate this risk, international equity investments are limited to a maximum of 30% of the equity portfolio.

Gifts of Individual Securities

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

Quasi-Endowments

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

Distribution Policy

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

Performance Evaluation

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

Conflicts Of Interest

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

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

Audits

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

Investment Policy Adoption and Certification

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

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

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: *Director of Treasury and Student Business Services*~~Vice President for Finance and Administration~~

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Withdrawal Without Financial Clearance

Policy Number: 6.22

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

Date of last revision, if applicable: 1/29/2019

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

Purpose of Policy (what does it do): This policy establishes the sanctions and the process by which those santctions will be imposed when a student leaves the university without financial clearance.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Michaelyn Greene, Director of Treasury and Student Business Services
Mickey Diez, Registrar
Damon Derrick, General Counsel

Withdrawal Without Financial Clearance

Original Implementation: October 26, 1978
Last Revision: *February 1, 2022*~~January 29, 2019~~

Purpose

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

General

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

- The student will not be permitted to register for classes.
- The student will not be eligible to receive an official transcript of academic work completed.

Implementation

Each ~~area~~ *office* in which the student has a financial obligation requiring the imposition of sanctions will either notify the *student b*~~B~~usiness *services* office, citing the nature of the financial obligation, or will place a registration and transcript hold on the student's record. It will be the student's responsibility to contact the appropriate office to clear his/her record. These offices will then release the hold and notify the registrar's office once the financial obligation has been resolved, if needed.

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

Cross Reference: Student Accounts Receivable (3.28)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: *Director of Treasury and Student Business Services*~~Controller~~, Registrar

Forms: None

Board Committee Assignment: Finance and Audit

Reports

- President
- Faculty Senate
- Staff Council
- Student Government Association

PRESIDENT'S REPORT

Presenter: Scott Gordon, University President

Report Topics:

- COVID Update
- Spring Semester Update
- University Partnerships
- Distinguished HS Update
- Legislative Work
- Summer Plans (Road Tour)

Dr. Brian Uriegas BIO

Dr. Uriegas is an Assistant Professor in the department of Human Services and Educational Leadership. Prior to his arrival at SFA, Dr. Uriegas spent 17 years as a teacher, coach, and principal in Texas public schools. Dr. Uriegas graduated from the University of Texas with a B.A. in History, Southwest Texas State University (now Texas State University) with an M.Ed. in Secondary Education, and Texas A&M University-Kingsville with an Ed.D. in Educational Leadership. Brian's research interests are centered on rural education with focuses on post-secondary readiness, students of poverty, career and technical education, diversity, equity, and inclusion, and advancement for Latinx students and faculty in higher education. Dr. Uriegas serves on several national committees for justice, equity, diversity, and inclusion and is a section editor for the Rural Education newsletter as part of the American Educational Research Association. Brian has publications and presentations at the state, regional, national, and international levels.

Faculty Senate Chair's Report
Brian Uriegas, EdD, Chair 2021-2022
Address to SFA Board of Regents
February 1, 2022

1. **Faculty Accomplishments**
2. **Senate Work Spring 2022**
3. **Opportunity for Questions**

Faculty Accomplishments, October 1, 2021 to December 31, 2021

Ajero, Mario P. Kristen Mercer Senior Trombone Recital.

Alero, Mario P. Making Meaningful Connections with Online Piano Lessons, 2021 NJMTA State Conference.

Amato, Alexander Gordon. Messiah.

Andrew, Peter. Art in Embassies-Kuala Lumpur.

Andrew, Peter. Reasons to Smile.

Andrew, Peter. SFA 12 x 12 FVA Scholarship Auction

Andrew, Peter. SFA Faculty Art Show.

Andrew, Peter. Naranjo Museum Gala.

Antoniazzi, Reuber. De aquí para allá: La distribución espacio-temporal de las hormigas del sotobosque y dosel en bosques tropicales de Brasil, México y Colombia, Neotropical Ants Study Group (GEHN).

Antoniazzi, Reuber. Tree density and forest stratification shape ant assemblages in Brazilian Pantanal forest patches.

Antoniazzi, Reuber. Subtle structures with not-so-subtle functions: a dataset of arthropod constructs and their host plants.

Ayer, Christopher. Clarinet 102.

Ayer, Christopher. Stone Fort Wind Quartet.

Ayer, Christopher. Marriage of Figaro.

Ayer, Christopher. Mid-Century Chamber Music.

Bacarisse, Angela. Ajax in Iraq.

Bacarisse, Angela. Booty Candy.

Bishop, Christine Marie. The Experiences of Latino Adolescent Mentees, Correctional Management Institute of Texas Eighth Annual Mental Health Conference.

Bishop, Christine Marie. Review of Text: Assessing Culturally Informed Parenting in Social Work.

Bishop, Christine Marie. Resilience factors among adults affected by mass conflict: Recommendations for researchers.

Brewer, Lauren Elizabeth. Exploring IHEs' Children in the Workplace Policies and Their Impact on female Faculty, Research on Women in Education Fall Conference.

Burrow, Lauren Ellis. Linking Science and Literacy for Preservice Teachers Through a Museum-University Partnership, 2021 School Science and mathematics Annual Convention.

Burrow, Lauren Ellis. Quick art activities to build students' confidence and creativity as artists, Texas Association for the Education of Young Children.

Burrow, Lauren Ellis. Exploring IHEs' Children in the Workplace Policies and Their Impact on female Faculty, Research on Women in Education Fall Conference.
Burrow, Lauren Ellis. Communication Theory of Identity, Identity Gap Theory, and MotherScholaring during COVID-19.

Burrow, Lauren Ellis. Pivoting rural community-based fine arts programs for youth due to a global pandemic.

Burrow, Lauren Ellis. A poetic processing by a teacher educator during the COVID-19 pandemic.

Busby, Antoine D'Wayne. How and When Supervisors' Challenge Appraisals Impact Employee Bottom-Line Mentality? The Roles of Supervisor Duty Orientation and Employee Positive Affectivity.

Busby, Antoine D'Wayne. What Can Go Wrong When Everything is Right? Using Organizational Justice to Understand Police Misconduct and Improve Personnel Systems.

Buswell, Deborah. EdTPA and Our PETE Students, TAHPERD 98th Annual Conference.

Carney, Courtney P. 'Play a Song for Me': The Politics, Selectivity, and Power of Bob Dylan's Live Performances.

Cegelka, Derek Scott. Assessing barriers to engage in advance care planning among young adults using the precaution adoption process model, American Public Health Association Conference.

Cegelka, Derek Scott. The COVID-19 Pandemic Has Changed Dying and Grief: Will There Be a Surge of Complicated Grief? 2021 Health Educators' Institute (HEI).

Clark, Brianna Marie. A Multifaceted Study to Evaluate the Effects of Excessive Soil Phosphorus on Loblolly Pine (Pinus taeda L.), 2021 ASA-CSSA-SSSA International Annual Meeting.

Collins, Eden A. Unmasked 2021: A Virtual Exhibition.

Conn, Carolyn S. Pivoting rural community-based fine arts programs for youth due to a global pandemic.

Creech, David L. An Evaluation of the Soil Salinity Levels on Galveston Island, Texas, Soil Science Society of America International Meeting.

Creech, David L. Building a Vegetated Bioswale: Ten Year Comparison with Sketch-Up and Unmanned Aerial Systems, Society of American Foresters National Convention.

Creech, David L. Building a Vegetated Bioswale: Ten Year Comparison with Sketch-Up and Unmanned Aerial Systems, Society of American Foresters National Convention.

Cross, Chrissy June. Exploring IHEs' Children in the Workplace Policies and Their Impact on female Faculty, Research on Women in Education Fall Conference.

Cross, Chrissy June. Communication Theory of Identity, Identity Gap Theory, and MotherScholaring during COVID-19.

Cross, Chrissy June. Pivoting rural community-based fine arts programs for youth due to a global pandemic.

Dalmas, Jennifer. Messiah.

Day, George James. Your dog as a therapeutic partner, not a therapeutic tool: Ethical considerations for AAT in the correctional setting, meeting of the Texas Association of Criminal Justice Educators, virtual conference hosted by University of Texas-Rio Grande Valley.

Day, George James. More similar than different: An examination of language use differences in popular music based on sex, Broadcast Education Association, virtual conference – BEA On-Location.

Day, George. Dogs as therapeutic partners, not therapeutic tools: Ethical considerations for AAT in the correctional setting.

Derrick, Jamie Nelson. Do targeted assignment reminders have an effect on timely assignment completion rates? Southwest Decision Sciences Institute Annual Meeting.

Derrick, Jamie Nelson. Online Course Performance: Does pre-screening affect outcomes? Southwest Decision Sciences Institute Annual Meeting.

Drake, Sarah Catherine. Creating a didactic program in dietetics (DPD) consortium, Academy of Nutrition and Dietetics Food and Nutrition Conference and Exposition (FNCE) 2021.

Ewing, James Stephen. Math for ELs: As Easy as Uno, Dos, Tres, NCTM Fall Virtual Conference.

Ewing, James Stephen. Developing ELs' Math Language, NCTM Fall Virtual Conference.

Ewing, James Stephen. Positioning Multilingual Learners to be Successful in Math, TexTESOL State Conference.

Ewing, James Stephen. Teaching Math to ELs: 5 Tools, NCSM Beyond the Conference.

Farrish, Kenneth W. A Multifaceted Study to Evaluate the Effects of Excessive Soil Phosphorus on Loblolly Pine (Pinus taeda L.), 2021 ASA-CSSA-SSSA International Annual Meeting.

Farrish, Kenneth W. An Evaluation of the Soil Salinity Levels on Galveston Island, Texas, Soil Science Society of America International Meeting.

Farrish, Kenneth W. Effects of Prescribed Burning on Soil Water Infiltration and Physical Soil Properties in East Texas, 9th International Fire Ecology and Management Congress.

Farrish, Kenneth W. The effects of Excessive Soil Phosphorus Accumulation on Loblolly Pine (Pinus taeda L.) Seedlings in East Texas, Soil Science Society of America International Meeting.

Farrish, Kenneth W. The Effects of Prescribed Burning on Selected Soil Chemical Properties in East Texas Forests.

Fish, Tod W. Christmas Extravaganza.

Fish, Tod W. Messiah.

Fish, Tod W. An Historical View of Hymnody in the Methodist Church, FUMC Senior Sunday School Class.

Flowers, Jaime. De-implementation: A missing piece in bridging the research to practice gap in school psychology.

Flowers, Jaime. Spotlight on a training program: Stephen F. Austin State University.

Glasscock, Jessica L. Latency to initial detection for mammalian species in a mixed hardwood-pine forest, ATCOFA URC.

Glasscock, Jessica L. Prescribed fire effects on White-tailed deer (Odocoileus virginianus) browse quality in the Pineywoods of Texas, 9th International Fire Ecology and Management Congress.

Glasscock, Jessica L. Changes in understory plant diversity following the alteration of burn regimes in the Pineywoods of East Texas, 9th International Fire Ecology and Management Congress.

Ground, Elizabeth Ann Baker. Race to Success: Differentiating Instruction Works! Speed Session, Association of Middle Level Education Annual Conference.

Ground, Elizabeth Ann Baker. Race to Success: Differentiated Instruction works! Association of Middle Level Education Annual Conference.

Ground, Elizabeth Ann Baker. Teacher Teams That Work, Association of Middle Level Education Annual Conference.

Ground, Elizabeth Ann baker. Technology in Education, Win or Fail?: Are Teacher Candidates Being Prepared?

Harden, Gina. Online Course Performance: Does pre-screening affect outcomes? Southwest Decision Sciences Institute Annual Meeting.

Harris, Michelle R. Multi-component Redox System for Selective and Potent Antineoplastic Activity towards Ovarian Cancer Cells.

Hasbun, Tracey Covington. Using empirical evidence to evaluate teacher preparation programs: A case study for CAEP accreditation.

Hart, Casey B. More similar than different: An examination of language use differences in popular music based on sex, Broadcast Education Association, virtual conference – BEA On-Location.

He, Yuan. Fresh Start for Teaching Theory Courses: Strategies for Online Delivery, TECSCU Fall 2021 Conference.

He, Yuan. Body Size Perceptions among Normal-Weight Kindergarten Children in China.

Henning, Sara Danielle. Blue.

Henning, Sara Danielle. Root of the Distance: Poems About the Body, MLA.

Henning, Sara Danielle. Burn.

Hicks, Candace. Uncommon Threads.

Humphries, Jamie Keith. Framework for Blockchain Use in Pharmaceutical Sample Management.

Hung, I-Kuai. An Evaluation of the Soil Salinity Levels on Galveston Island, Texas, Soil Science Society of America International Meeting.

Hung, I-Kuai. Building a Vegetated Bioswale: Ten Year Comparison with Sketch-Up and Unmanned Aerial Systems, Society of American Foresters National Convention.

Hung, I-Kuai. Spatial quantification of shortleaf pine and loblolly pine hybridization in East Texas using chromatography and GIS, 9th International Fire Ecology and Management Congress.

Hung, I-Kuai. Increasing Citizen Science Communication Using Drones, Society of American Foresters National Convention.

Hung, I-Kuai. Positional Accuracy and Precision Comparison on Four Drones of the DJI Phantom Series, Society of American Foresters National Convention.

Hung, I-Kuai. Use of the eBee X UAS to Map Forest with NDVI and RGB Imagery, Society of American Foresters National Convention.

Hung, I-Kuai. Winter Storm Damage Assessment of Loblolly and Slash Pine with Drones, Society of American Foresters National Convention.

Hung, I-Kuai. Using automated recorders for occupancy modeling, American Bird Conservancy ARU Meeting.

Hung, I-Kaui. Plus Code: An Alphanumeric Code Geocoding Option for Professional Foresters.

Hung, I-Kaui. Integrating Natural Resources Education and Citizen Science Communication through the Use of Unmanned Aerial Systems (Drones).

Jeffery, Tonya Denene. Linking Science and Literacy for Preservice Teachers Through a Museum-University Partnership, 2021 School Science and mathematics Annual Convention.

Jeffery, Tonya Denene. Teaching Inquiry-based Elementary Science Methods Through the Critical Lens of Social Justice, 2021 School Science and Mathematics Association (SSMA) Annual Convention.

Jerez, Sheryll. Microplastic in Surface and Sediments of Rural-Urban Streams in East Texas: Distribution, Abundance and Diversity, ATCOFA’s Undergraduate Research Showcase 2021.

Jones, Angela. NURS 5360 Curriculum Design.

Jones, Raymond Jefferson. Storytelling in family business: The role of familiness in the family business creation story on consumer perceptions and behaviors.

Kahla, Marlene Carmen. Advertising and Promotion: What the Student Sees.

Kahn, Leah Lynn. Race to Success: Differentiating Instruction Works! Speed Session, Association of Middle Level Education Annual Conference.

Kahn, Leah Lynn. Race to Success: Differentiated Instruction works! Association of Middle Level Education Annual Conference.

Kahn, Leah Lynn. Modeling Flexibility for Teacher Candidates in the Pandemic, Association of Middle Level Education Annual Conference NAPOMLE Best Practice Session.

Kahn, Leah Lynn. Teacher Teams That Work, Association of Middle Level Education Annual Conference.

Kidd, Kathryn Rebecca. Prescribed fire effects on White-tailed deer (Odocoileus virginianus) browse quality in the Pineywoods of Texas, 9th International Fire Ecology and Management Congress.

Kidd, Kathryn Rebecca. Changes in understory plant diversity following the alteration of burn regimes in the Pineywoods of East Texas, 9th International Fire Ecology and Management Congress.

Kidd, Kathryn Rebecca. Spatial quantification of shortleaf pine and loblolly pine hybridization in East Texas using chromatography and GIS, 9th International Fire Ecology and Management Congress.

Kidd, Kathryn Rebecca. Quantification of Surface Vegetation Parameters in Fire-Prone Ecosystems in the Netherlands, 9th International Fire Ecology and Management Congress.

Kidd, Kathryn Rebecca. Response of Chinese tallow (Triadica sebifera) and coexisting natives to competition, shade, and flooding.

Kidd, Kathryn Rebecca. The influence of forest management on the snakes in forest food webs.

Kidd, Kathryn Rebecca. Disparate patterns of taxonomic and functional predator diversity under different forest management regimes.

King, Larry. Fake News: What Is It? Where Did It Come From? How Can We Identify It? How Should We Respond?

Klein, Michelle P. Women's Heart Health, Daughters of the American Revolution Meeting.

Koltonski, Summer Laine. Using project-based learning strategies to teach applied behavior analysis to pre-service teachers: A pilot study.

Koltonski, Summer Laine. Using project-based learning strategies to teach applied behavior analysis to pre-service teachers: A pilot study.

Koltonski, Summer Laine. Using Data to Eliminate Bias in Special Education.

Kulhavy, David L. Building a Vegetated Bioswale: Ten Year Comparison with Sketch-Up and Unmanned Aerial Systems, Society of American Foresters National Convention.

Kulhavy, David L. Increasing Citizen Science Communication Using Drones, Society of American Foresters National Convention.

Kulhavy, David L. Positional Accuracy and Precision Comparison on Four Drones of the DJI Phantom Series, Society of American Foresters National Convention.

Kulhavy, David L. Use of the eBee X UAS to Map Forest with NDVI and RGB Imagery, Society of American Foresters National Convention.

Kulhavy, David L. Winter Storm Damage Assessment of Loblolly and Slash Pine with Drones, Society of American Foresters National Convention.

Kulhavy, Davis L. Plus Code: An Alphanumeric Code Geocoding Option for Professional Foresters.

Kulhavy, David L. Integrating Natural Resources Education and Citizen Science Communication through the Use of Unmanned Aerial Systems (Drones).

Lee, Minhae. 2021 Pi Kappa Lambda Scholarship Recital.

Leysath, Margaret A. Healing Trauma with Art, Texas Educational Service Center - Region Six.

Long, Jane Holsapple. The Mathematics of Sona, Katy Math Circle.

Love Watkins, Ginny Elizabeth. NAEYC Standards, Early Childhood Lab Teacher Workshop.

Madrid, Alba. Messiah.

McCleary, Daniel Fox. Spotlight on a training program: Stephen F. Austin State University.

McDermand, Robert David. Patting Ourselves on the Back - FCS Football Social Media 'Engagement'.

McDermand, Robert David. FCS Athletic Spending and Institutional Enrollment.

McKenna, Christopher. Spaghetti Analysis of Student Writing.

Mendoza, Beverly. Section 301 and Politics? Analysis of Tariff Exclusions, Southern Economics Association 91st Annual Meeting.

Meyer, Bradley Edward. Recorded 2021-22 TMEA Percussion Etudes for Vic firth Co.

Meyer, Bradley Edward. ATSSB Clinic at Redwater High School.

Meyer, Bradley Edward. Masterclass at Carthage Middle School.

Meyer, Bradley Edward. Adjudicated TCCBDA Jazz Drumset Auditions.

Meyer, Bradley Edward. ATSSB Clinic at Salado High School.

Meyer, Bradley Edward. ATSSB Clinic at Yoe High School.

Meyer, Bradley Edward. SFA Percussion Ensemble’s Performance on the Kaleidoscope Concert.

Meyer, Bradley Edward. SFA Jazz Doctors Performance.

Meyer, Bradley Edward. ATSSB Clinic with Chapel Hill High School.

Meyer, Bradley Edward. TMEA Clinic at Pine Tree High School.

Meyer, Bradley Edward. ATSSB Clinic at Shelbyville High School.

Meyer, Bradley Edward. Adjudicated at the Marching on the Prairie Invitational.

Meyer, Bradley Edward. ATSSB Clinic at Beckville High School.

Meyer, Bradley Edward. Adjudicated at the Teague High School Marching Invitational.

Meyer, Bradley Edward. ATSSB Clinic at Livingston Junior High School.

Meyer, Bradley Edward. TMEA Clinic at Nacogdoches High School.

Meyer, Bradley Edward. Adjudicator at the Classic on the Lake.

Meyer, Bradley Edward. Reducing Performance Anxiety.

Meyer, Bradley Edward. Health & Wellness Committee Happenings at PASIC 2021.

Mishra, Rajat. MGMT 3372- online course development.

Mishra, Rajat. MGMT 4344-online course development.

Moore, Amanda. A Space for Traipsing.

Moulton, Aaron Coy. How British Intelligence Destabilised Democracy in Central America.

Moulton, Aaron Coy. José L. Bolívar Fresneda, The Caribbean Front in World War II: The Untold Story of U-Boats, Spies, and Economic Warfare (Princeton, NJ: Marcus Wiener, 2021).

Nabb, Melissa. Messiah.

Newquist, Jennifer Lynn. Parenting Behaviors and Parental Stress Among Foster Parents.

Nielson, Russell L. Reviewed assessment procedures and data for the Geology Department.

Ochoa Gutierrez, Hector A. Adapting Chaos Theory for Undergraduate Electrical Engineers.

Odunuga, Odutayo O. Beyond chaperoning: UCS proteins emerge as regulators of myosin-mediated cellular processes.

Odunuga, Odutayo O. Multi-component Redox System for Selective and Potent Antineoplastic Activity towards Ovarian Cancer Cells.

Olson Beal, Heather K. Christmas Extravaganza.

Olson Beal, Heather K. Exploring IHEs' Children in the Workplace Policies and Their Impact on female Faculty, Research on Women in Education Fall Conference.

Olson Beal, Heather K. Communication Theory of Identity, Identity Gap Theory, and MotherScholaring during COVID-19.

Olson Beal, Heather K. Pivoting rural community-based fine arts programs for youth due to a global pandemic.

Onchoke, Kefa K. Evaluation and Analysis of Perlite and Municipal Wastewater Sludge (Biosolids) from Three Wastewater Treatment Plants in East Texas, USA.

Oswald, Brian P. Effects of Prescribed Burning on Soil Water Infiltration and Physical Soil Properties in East Texas, 9th International Fire Ecology and Management Congress.

Oswald, Brian P. Prescribed fire effects on White-tailed deer (Odocoileus virginianus) browse quality in the Pineywoods of Texas, 9th International Fire Ecology and Management Congress.

Oswald, Brian P. Changes in understory plant diversity following the alteration of burn regimes in the Pineywoods of East Texas, 9th International Fire Ecology and Management Congress.

Oswald, Brian P. Spatial quantification of shortleaf pine and loblolly pine hybridization in East Texas using chromatography and GIS, 9th International Fire Ecology and Management Congress.

Oswald, Brian P. Quantification of Surface Vegetation Parameters in Fire-Prone Ecosystems in the Netherlands, 9th International Fire Ecology and Management Congress.

Oswald, Brian P. Thermogravimetric and differential thermal analysis of sea buckthorn from The Netherlands compared to common US shrubs in fire-prone ecosystems, FEs 2021 Human and Nature 1st International Congress on Fire in the Earth System.

Oswald, Brian P. Teaching field silviculture synchronously online at Stephen F. Austin State University, 2021 Society of American Foresters National Convention.

Oswald, Brian P. The Effects of Prescribed Burning on Selected Soil Chemical Properties in East Texas Forests.

Oswald, Brian P. Response of Chinese tallow (Triadica sebifera) and coexisting natives to competition, shade, and flooding.

Pannell, Summer S. Examining Rural School Principals' Perceptions of Cultural Competence Preparedness, National Rural Education Association Annual Conference.

Phelps, Ryan T. Canceling PMI: A Shrouded Decision, Southern Economic Association 91st Annual Meeting.

Raychev, Evgeni. Messiah.

Rice, Sharon. EdTPA and Our PETE Students, TAHPERD 98th Annual Conference.

Rice, Sharon. Mindfulness on College Campuses, TAHPERD 98th Annual Convention.

Rice, Sharon. Picture a story: Communicating health information through graphic online storytelling, APHA 2021 Annual Meeting.

Rogers, Laurie Sharon. I Hear You: The Online Students' Perspective of Instructor Interpersonal Transactions in the Online Business Communications Classroom, Association of Business Communication 86th Annual International Conference.

Rogers, Pamela P. My OER Journey, THECB and ISKME OER Core Elements Academy.

Rogers, Pamela P. Do targeted assignment reminders have an effect on timely assignment completion rates? Southwest Decision Sciences Institute Annual Meeting.

Rogers, Pamela P. Online Course Performance: Does pre-screening affect outcomes? Southwest Decision Sciences Institute Annual Meeting.

Rudinger, Belinda Jane. Sustainably Revisioning the Future: Insights to Build Upon from the COVID-19 Pandemic, AASHE Global Conference on Sustainability in Higher Education.

Rudinger, Belinda Jane. Transformative Sustainability Learning: An Affective Photovoice Lens. AASHE Global Conference on Sustainability in Higher Education.

Rudinger, Belinda Jane. An Interdisciplinary Approach to Braille Literacy: Tips & Tricks for Parents.

Rush, Ronald R. Burnout and Influence of COVID, Eight Annual Mental Health Conference.

Samuelson, Heather. SFA Elevate Capital Campaign.

Sapkota, Kayla Noel. The Job Search During the Pandemic: The Perspectives of Employers.

Schalk, Christopher Michael. Increasing Citizen Science Communication Using Drones, Society of American Foresters National Convention.

Schalk, Christopher Michael. Using automated recorders for occupancy modeling, American Bird Conservancy ARU Meeting.

Schalk, Christopher Michael. Body condition and relative abundance of four turtle species across a gradient of ecological integrity, ATCOFA URC.

Schalk, Christopher Michael. Comparative calling phenology of anurans across latitudinal gradients, ATCOFA URC.

Schalk, Christopher Michael. Latency to initial detection for mammalian species in a mixed hardwood-pine forest, ATCOFA URC.

Schalk, Christopher Michael. Risk, Correlates, and Mitigation of Snake Entanglement in Erosion Control Blankets, TxDOT Environmental Conference.

Schalk, Christopher Michael. SNAPSHOT USA 2020: A second coordinated national camera trap survey of the United States during the COVID-19 Pandemic.

Schalk, Christopher Michael. The influence of forest management on the snakes in forest food webs.

Schalk, Christopher Michael. Integrating Natural Resources Education and Citizen Science Communication through the Use of Unmanned Aerial Systems (Drones).

Schalk, Christopher Michael. Amphibian and Reptile County Records from the Pineywoods of Northeast Texas, USA.

Schalk, Christopher Michael. Disparate patterns of taxonomic and functional predator diversity under different forest management regimes.

Schalk, Christopher Michael. Droughts reduce growth and increase demographic vulnerability to drying events for an ectotherm with size-dependent estivation ability.

Sengupta, Bidisha. Multi-component Redox System for Selective and Potent Antineoplastic Activity towards Ovarian Cancer Cells.

Sheriff, Lorna Kathleen. Book Review of: Empowering U: How to Design Your College Experience.

Spradley, Elizabeth C. Communication Theory of Identity, Identity Gap Theory, and MotherScholaring during COVID-19.

Stewart, John E. Mindfulness on College Campuses, TAHPERD 98th Annual Convention.

Stewart, John E. Picture a story: Communicating health information through graphic online storytelling, APHA 2021 Annual Meeting.

Stovall, Jeremy. Teaching field silviculture synchronously online at Stephen F. Austin State University 2021 Society of American Foresters National Convention.

Stovall, Jeremy. Response of Chinese tallow (Triadica sebifera) and coexisting natives to competition, shade, and flooding.

Stovall, Jeremy. Plus Code: An Alphanumeric Code Geocoding Option for Professional Foresters.

Straub, Sarah Melissa. Failing and getting up with a solutionary approach: Developing critical consciousness in a humane education graduate course.

Straub, Sarah Melissa. The Montgomery Professorship: A Review Using CAS Process of Self-Study.

Sumrall, Keilea. Athletic Trainers' Perceived Readiness to Recognize Mental Health Symptoms in Student Athletes, 2021 SWATA Virtual Meeting and Clinical Symposium.

Taaffe, Stephen R. Commanding the Pacific: Marine Corps Generals in World War II.

Tamey, Suzanne Anglley. Kaleidoscope Concert

Tamey, Suzanne Anglley. Indigo Train.

Tamey, Suzanne Anglley. Solace.

Turner, Christopher. Messiah.

Unger, Daniel R. Building a Vegetated Bioswale: Ten Year Comparison with Sketch-Up and Unmanned Aerial Systems, Society of American Foresters National Convention.

Unger, Daniel R. Increasing Citizen Science Communication Using Drones, Society of American Foresters National Convention.

Unger, Daniel R. Positional Accuracy and Precision Comparison on Four Drones of the DJI Phantom Series, Society of American Foresters National Convention.

Unger, Daniel R. Use of the eBee X UAS to Map Forest with NDVI and RGB Imagery, Society of American Foresters National Convention.

Unger, Daniel R. Winter Storm Damage Assessment of Loblolly and Slash Pine with Drones, Society of American Foresters National Convention.

Unger, Daniel R. Plus Code: An Alphanumeric Code Geocoding Option for Professional Foresters.

Unger, Daniel R. Integrating Natural Resources Education and Citizen Science Communication through the Use of Unmanned Aerial Systems (Drones).

Untiedt, Kenneth L. Yes, We Deliver, Too.

Untiedt, Kenneth L. Keynote Panel Discussion of Sandra Cisneros's The House on Mango Street, The Big Read.

Uriegas, Brian. Examining Rural School Principals' Perceptions of Cultural Competence Preparedness, National Rural Education Association Annual Conference.

Varol, Hacer. Harnessing IoT Technology for the Development of Wearable Contact Tracing Solutions.

Wagner-Greene, Victoria. Assessing barriers to engage in advance care planning among young adults using the precaution adoption process model, American Public Health Association Conference.

Wagnon, Amber Edwards. Meeting the needs of secondary students: One teacher candidate at a time, American Education Research Association National Conference 2021.

Wagnon, Amber Edwards. Videoconferencing: A further complication of the dual nature of MotherScholars, American Education Research Association National Conference 2021.

Wagnon, Amber Edwards. Pivoting rural community-based fine arts programs for youth due to a global pandemic.

Walburn, Jacob A. Shreveport Symphony Recording Session.

Walburn, Jacob A. Messiah.

Weng, Yuhui. Quantification of Surface Vegetation Parameters in Fire-Prone Ecosystems in the Netherlands, 9th International Fire Ecology and Management Congress.

Weng, Yuhui. Model-based growth comparisons between loblolly and slash pine and between silvicultural intensities in East Texas.

Weng, Yuhui. Somatic embryogenesis in mature zygotic embryos of Picea pungens.

Weng, Yuhui. Response of Chinese tallow (Triadica sebifera) and coexisting natives to competition, shade, and flooding.

Williams, Dawn Michelle. Race to Success: Differentiating Instruction Works! Speed Session, Association of Middle Level Education Annual Conference.

Williams, Dawn Michelle. Race to Success: Differentiated Instruction works! Association of Middle Level Education Annual Conference.

Williams, Dawn Michelle. Teacher Teams That Work, Association of Middle Level Education Annual Conference.

Williams, Dawn Michelle. Modeling Flexibility for Teacher Candidates in the Pandemic, Association of Middle Level Education Annual Conference NAPOMLE Best Practice Session.

Williams, Hans M. Use of the eBee X UAS to Map Forest with NDVI and RGB Imagery, Society of American Foresters National Convention.

Wright, Carol S. My Favorite Assignment: What's up with her? Learning about personality, Association for Business Communication 2021 International Conference.

Wright, Carol S. Using Grammarly: Perceptions of its Influence on Effective Writing, Association for Business Communication 2021 International Conference.

Wright, Carol S. Panel: Using Technology to Enhance Business Communication Pedagogy, Association for Business Communication 2021 International Conference.

Wright, Carol S. The Job Search During the Pandemic: The Perspectives of Employers.

Wright, Carol S. Teaching Resiliency in Business Education Classes.

Wright, Carol S. My Favorite Assignment: What's up with her? Learning about personality.

Xu, Tingting. Using project-based learning strategies to teach applied behavior analysis to pre-service teachers: A pilot study.

Xu, Tingting. Using empirical evidence to evaluate teacher preparation programs: A case study for CAEP accreditation.

Xu, Tingting. Body Size Perceptions among Normal-Weight Kindergarten Children in China.

Zhang, Yanli. Building a Vegetated Bioswale: Ten Year Comparison with Sketch-Up and Unmanned Aerial Systems, Society of American Foresters National Convention.

Zhang, Yanli. Increasing Citizen Science Communication Using Drones, Society of American Foresters National Convention.

Zhang, Yanli. Positional Accuracy and Precision Comparison on Four Drones of the DJI Phantom Series, Society of American Foresters National Convention.

Zhang, Yanli. Use of the eBee X UAS to Map Forest with NDVI and RGB Imagery, Society of American Foresters National Convention.

Zhang, Yanli. Winter Storm Damage Assessment of Loblolly and Slash Pine with Drones, Society of American Foresters National Convention.

Zhang, Yanli. Plus Code: An Alphanumeric Code Geocoding Option for Professional Foresters.

Zhang, Yanli. Integrating Natural Resources Education and Citizen Science Communication through the Use of Unmanned Aerial Systems (Drones).

Ziegler, Carl. SOAR TESS Survey. II. The Impact of Stellar Companions on Planetary Populations.

Ziegler, Carl. TOI-1259Ab - a gas giant planet with 2.7 per cent deep transits and a bound white dwarf companion.

Ziegler, Carl. TOI-712: a system of adolescent mini-Neptunes extending to the habitable zonehttps://arxiv.org/abs/2111.02416.

Ziegler, Carl. HD 183579b: a warm sub-Neptune transiting a solar twin detected by TESS.

Ziegler, Carl. The young HD 73583 (TOI-560) planetary system: Two 10-M$_\oplus$ mini-Neptunes transiting a 750-Myr-old, bright, and active K dwarf.

Ziegler, Carl. TOI-431/HIP 26013: a super-Earth and a sub-Neptune transiting a bright, early K dwarf, with a third RV planet.

Megan Weatherly, Staff Council Chair

Megan Weatherly serves as the Director of the Center for Teaching & Learning (CTL) and the inaugural Chair of Staff Council.

Megan joined the CTL team in June 2014. In her role as director, she is responsible for the long-term planning for and day-to-day administration of the Center. Prior to becoming director in 2019, Megan served as CTL's Learning Experience Design Coordinator for two years and as its sole learning experience designer for four years. From 2015 to 2018, she also worked for SFA's vice presidents to coordinate SFA's strategic plan.

Prior to coming to SFA, Megan served as a senior instructional designer at Texas State University. She has also worked as a contract instructional designer for the Department of Defense, Department of Defense Education Activity, Texas A&M, the University of Nevada, Las Vegas, and other institutions. Her professional experience also includes four years as a writer/editor in the marketing and publishing industries in domestic and international markets.

Megan has been an adjunct faculty member in the Department of History for since 2010 and continues to teach each semester. She holds a B.A. in history from Stephen F. Austin State University and an M.A. in history and public history from the University of Nevada, Las Vegas.

Staff Council Report

Tuesday, February 1, 2022

Staff Council

By the Numbers

In the two months since our first meeting, we can begin to quantify our reach, efforts, and early connections with constituents…

2
Council meetings held

210+
meeting attendees

4
committees at work

50 (ish)
written interactions

Staff Council

Always (Still) Listening

Staff Council continues to listen to the voices of our staff colleagues. Many representatives have had meetings and written exchanges with individual constituents.

Staff Council

Topics of Significance

As Staff Council has listened, the following topics have occupied much of the time in our conversations...

directing staff to appropriate resources	mandatory reporting requirements	communicating how to stay up-to-date on the Council's work	employee job security
SFA's future place in higher ed in Texas	employee culture and morale	staff salaries	specific benefits

Staff Council

Our Future Actions

What you can expect from Staff Council in the coming months...

Staff Council

Staff recognition

We will be taking over the annual service and retirement awards event, making it equal to the faculty event, and lauding our colleagues.

Salary study distribution

We will be distributing the findings from the Hanover staff salary study, analyzing the data, gathering feedback, and discussing next steps.

Information gathering

Our staff colleagues have questions on a variety of issues. Our committees have begun gathering information on questions of notable interest.

Lauren Roach Bio

Student Government Association – Student Body President

Lauren Roach is a senior accounting major. This Fall she will begin graduate school for her Masters in Accountancy. During her four years at SFA, Lauren has grown a passion for advocating for her peers as well as promoting an agenda for professional development. Her favorite part about her experience here at SFA has been joining various organizations that have gained her life-long relationships and helped to shape her into the leader she is today. Lauren looks forward to utilizing her skills on a larger platform, serving as the 2021-2022 SGA Student Body President.

Student Government Association
Board of Regents Report
February 1, 2022

- Rebranding of Student Government Association
    - Recruitment plans
- Student Service Fee Committee
    - Applications close February 18th
    - Presentations March 14th, 16th, and 17th
- Counseling Services
    - Search Committee
    - QPR Trainings

NOMINATING COMMITTEE REPORT

Presenter: Mr. David Alders, Chair

Committee members include Judy Olson and Brigettee Henderson.