REPORT TO THE BOARD OF REGENTS

April 10-12 , 2022

Meeting 355

STEPHEN F. AUSTIN
STATE UNIVERSITY

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Stephen F. Austin State University

Board of Regents

Meeting 355

April 10, 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
April 10 -11, 2022
Meeting 355
Austin Building, Room 307

The Board of Regents of Stephen F. Austin State University will convene a two-day Board Meeting and Committee Meetings on April 10-11, 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, April 10, 2022
2:00 p.m.
CALL TO ORDER IN OPEN SESSION

Welcome and Introductions

RECESS TO EXECUTIVE SESSION
(Scheduled for approximately 2:05 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)

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, *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, 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.)

Action Item 22: Pending Executive Session

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

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

MONDAY, April 11, 2022
8:00 a.m.
RECONVENE BOARD MEETING IN OPEN SESSION

Call to Order

Welcome and Introductions

RECESS TO COMMITTEE MEETINGS

MEETING OF THE BUILDING AND GROUNDS COMMITTEE

Presentation and Committee Action on Agenda Items 9-11:

9. Lanana Creek Trail – Advanced Agreement for the 2019 Safe Routes to School/Transportation Alternatives Grant Program

10. Selection of Architectural Firm to Develop a Comprehensive Athletics Facilities Master Plan

11. Building and Grounds Committee Policy Revisions
    - Campus Programs for Minors 13.5
    - Markers, Monuments and Artwork 16.17
    - Skating, Skateboarding and Motorized Scooters 13.20
    - Solicitation on Campus 16.25
    - Space Assignment, Management and Planning 16.3

MEETING OF THE ACADEMIC AND STUDENT AFFAIRS COMMITTEE
(Scheduled at approximately 8:30 a.m. or following the previous committee)

Presentation and Committee Action on Agenda Items 12-16:

Report: Title IX Update

Report: UPD Racial Profiling Report

12. Enhancing Enrollment with the Addition of STUNT as an Athletic Program

13. Extend the Test-Optional Admissions Requirement for 2023 Terms

14. Curriculum Changes 2022-23

15. Curriculum Change for Summer 2022

16. Academic and Student Affairs Policy Revisions
    - Academic Accommodation for Students with Disabilities 6.1

Administrative Systems Software Changes 16.2
Compensation from Grants, Contracts and Other Sponsored Agreements 12.1
Discontinuance of Programs or Academic Unit 5.9
Effort Reporting and Certification for Sponsored Activities 8.1
Email for University Communication 15.1
File Maintenance for Faculty Personnel Files 4.6
Financial Conflicts of Interest in Sponsored Activities 8.2
Guest Speaker 16.12
Grants and Contracts Administration 8.3
Institutional Animal Care and Use Committee (IACUC) 8.6
New Employee Orientation 11.17
New Releases 15.3
Payments to Human Research Subjects 8.8
Reproduction of Copyrighted Works by Educators and Librarians 9.2
Student Records 2.10
University Letterhead 15.5
University Publications 15.8

At approximately 9:30 a.m., the board will take a tour of the School of Social Work and the DeWitt School of Nursing. The board will break for lunch at approximately 12:10 p.m.

MEETING OF THE FINANCE AND AUDIT COMMITTEE
(Scheduled for approximately 1:30 p.m.)

Presentation and Committee Action on Agenda Items 17-21:

17. Acknowledge Receipt of Audit Services Report
    Safety and Security Audit
    Conflicts of Interest Audit
    Business Office Cash Count
    Annual Risk Assessment
    Quality Assurance Review Self-Assessment
    Update on Audit Plan

18. Acknowledge Receipt of Contract Monitoring Report

19. Grant Awards

20. On-Campus Residential Wireless Service and Upgrade

21. Finance and Audit Policy Revisions
    Distribution of Payroll 12.3
    Facilities and Administration (Indirect) Cost Recovery, Distribution and Use 8.5
    Family and Medical Leave 12.9
    Fixed Amount Awards 8.12
    Institutional Reserves Fund 3.19
    Lumberjack Education Assistance Program 12.5
    Payment Card Acceptance and Security 14.8
    Receipts and Deposits 3.26

Student Accounts Receivable 3.28
Travel 3.29

RECESS COMMITTEE MEETINGS

RECONVENE BOARD MEETING IN COMMITTEE OF THE WHOLE
(Scheduled for approximately 2:30 p.m.)

Pledge and Invocation

Special Recognitions

Board Action on Agenda Item 1: Approval of Board Meeting Minutes for January 30 – February 1, 2022 (353) and March 23, 2022 (354)

Board Action on Personnel Items 2-8, 23-24:

2. Approval of Staff Appointments

3. Approval of Faculty Appointments

4. Approval of Faculty Promotions

5. Approval of Faculty Tenure

6. Approval of Changes of Status

7. Approval of Regents Scholar 2022-2023

8. Approval of Retirements

23. Pending Executive Session Item

24. Pending Executive Session Item

Committee Reports and Board Action:

Building and Grounds Committee Report and Board Action on Agenda Items 9-11:

9. Approval of Lanana Creek Trail – Advanced Agreement for the 2019 Safe Routes to School/Transportation Alternatives Grant Program

10. Approval of Selection of Architectural Firm to Develop a Comprehensive Athletics Facilities Master Plan

11. Approval of Building and Grounds Policy Revisions
Campus Programs for Minors 13.5
Markers, Monuments and Artwork 16.17
Skating, Skateboarding and Motorized Scooters 13.20
Solicitation on Campus 16.25

Space Assignment, Management and Planning 16.3

Academic and Student Affairs Committee Report and Board Action on Agenda Items 12-16:

12. Approval of Enhancing Enrollment with the Addition of STUNT as an Athletic Program

13. Approval of Extend the Test-Optional Admissions Requirement for 2023 Terms

14. Approval of Curriculum Changes 2022-23

15. Approval of Curriculum Change for Summer 2022

16. Approval of Academic and Student Affairs Policy Revisions
    - Academic Accommodation for Students with Disabilities 6.1
    - Administrative Systems Software Changes 16.2
    - Compensation from Grants, Contracts and Other Sponsored Agreements 12.1
    - Discontinuance of Programs or Academic Unit 5.9
    - Effort Reporting and Certification for Sponsored Activities 8.1
    - Email for University Communication 15.1
    - File Maintenance for Faculty Personnel Files 4.6
    - Financial Conflicts of Interest in Sponsored Activities 8.2
    - Guest Speaker 16.12
    - Grants and Contracts Administration 8.3
    - Institutional Animal Care and Use Committee (IACUC) 8.6
    - New Employee Orientation 11.17
    - New Releases 15.3
    - Payments to Human Research Subjects 8.8
    - Reproduction of Copyrighted Works by Educators and Librarians 9.2
    - Student Records 2.10
    - University Letterhead 15.5
    - University Publications 15.8

Finance and Audit Committee Report and Board Action on Agenda Items 17-21:

17. Acknowledge Receipt of Audit Services Report
    - Safety and Security Audit
    - Conflicts of Interest Audit
    - Business Office Cash Count
    - Annual Risk Assessment
    - Quality Assurance Review Self-Assessment
    - Update on Audit Plan

18. Acknowledge Receipt of Contract Monitoring Report

19. Approval of Grant Awards

20. Approval of On-Campus Residential Wireless Service and Upgrade

21. Approval of Finance and Audit Policy Revisions

Distribution of Payroll 12.3
Facilities and Administration (Indirect) Cost Recovery, Distribution and Use 8.5
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Fixed Amount Awards 8.12
Institutional Reserves Fund 3.19
Lumberjack Education Assistance Program 12.5
Payment Card Acceptance and Security 14.8
Receipts and Deposits 3.26
Student Accounts Receivable 3.28
Travel 3.29

REPORTS

President Report
- COVID team transition
- Updates on Key Searches
- President's Executive Advisory Council
- Business/Industry Connections
- Legislative Update and Visits
- Distinguished High School Partnerships
- Summer Road Tour
- Presidential Innovation Fund Grants
- Undergraduate Research Initiative

Faculty Senate Report
- Faculty Accomplishments
- Senate Work Spring 2022
- Closing Remarks

Staff Council Report
- Topics of Staff Council Discussion
- Future Staff Council Actions

Student Government Association Report
- SGA Elections
- Current and Upcoming SGA Initiatives

Board Committees for 2022-2023

RECESS TO EXECUTIVE SESSION

(Scheduled for approximately 4:30 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)

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, *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)

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

ESTIMATED ADJOURNMENT OF BOARD MEETING
(Approximately 6:00 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 355
April 10, 2022

ROLL CALL

Regents

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

*Regent Henderson-Unable to attend

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

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
- Safety and Security Self-Assessment Report and Audit

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, *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)

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Action Item: Pending Executive Session Item

Stephen F. Austin State University

Board of Regents

Meeting 355

April 11, 2022

Stephen F. Austin State University
Board of Regents
Meeting 355
April 11, 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

Steve Westbrook
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

Building and Grounds Committee

LANANA CREEK TRAIL – ADVANCED FUNDING AGREEMENT FOR THE 2019 SAFE ROUTES TO SCHOOL/TRANSPORTATION ALTERNATIVES GRANT PROGRAM

Explanation:

In July 2019, the Board of Regents approved Board Order 19-51, authorizing the submission of four grant applications to the Texas Department of Transportation (TxDOT) Safe Routes to School / Transportation Alternatives (SRTS/TA) Grant Program to construct and enhance pedestrian sidewalks, trails, and bicycle paths, including the Lanana Creek Trail project with a total projected cost of $1,742,889, of which the university would be responsible for twenty percent ($348,578). Due to construction escalation costs, TxDOT increased the total projected cost to $1,811.274. This increased the university's contribution to $362,255. In April 2021, the Board of Regents approved Board Order 21-48, revising the university's contribution.

On April 29, 2021, the Texas Transportation Commission approved funding for the Lanana Creek Trail TA project. The university is required to execute an Advanced Funding Agreement (AFA) with TxDOT. The AFA is a contract that outlines the specific terms and conditions of the grant-funded project. The grant requires a twenty percent local match of $362,255. TxDOT is contributing $217,000 towards the local match, leaving the university to contribute the remaining $145,255 to complete the twenty percent match.

Recommendation:

The administration recommends approval to execute an Advanced Funding Agreement with TxDOT and commitment of a $145,255 cash match in support of the grant funded project. The administration further recommends the remaining balance of $217,000 from the previously approved $362,255 contribution be made available for any additional costs associated with the project, including but not limited to addition of appropriate health and safety features. The administration further recommends authorization of the president to sign all associated purchase orders and contracts as necessary.

SELECTION OF ARCHITECTURAL FIRM TO DEVELOP A COMPREHENSIVE ATHLETIC FACILITIES MASTER PLAN

Explanation:

The Athletics Advisory Committee recommended to the Buildings and Grounds committee of the Board of Regents that the university develop an athletic facilities master plan. Therefore, the university is seeking to enter into an agreement with a design firm with experience in the programming and design of university athletic facilities. The selected firm will evaluate the existing campus athletic facilities' current conditions to give direction and recommendations for renovating, removing and/or expanding the current athletics facilities. Additionally, the completed master plan will consider programming and design of athletic facilities that will define the strategic planning, programmatic needs, conceptual budgets and potential phasing for future athletic facility projects.

Recommendation:

The administration recommends submitting a request for qualifications (RFQ) to select a firm that will define the strategic planning, programmatic needs, conceptual budgets and potential phasing for future athletic facility projects. The administration further recommends authorization of the president to sign all associates contract(s) and purchase orders.

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:

Campus Programs for Minors 13.5
Markers, Monuments and Artwork 16.17
Skating, Skateboarding and Motorized Scooters 13.20
Solicitation on Campus 16.25
Space Assignment, Management and Planning 16.3

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Campus Program for Minors

Policy Number: 13.5

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

Date of last revision, if applicable: April 30, 2019

Unit(s) Responsible for Policy Implementation: Vice President of Student Affairs; Campus Living, Dining, and Auxiliary Services

Purpose of Policy (what does it do): The purpose of the Campus Program for Minors is to educate University employees and volunteers of such programs by establishing requirements relating to sexual abuse and child molestation training and examination. The proposed rules are necessary to comply with Senate Bill (SB) 1414, 82nd Legislature, Regular Session, 2011, which amended Texas Education Code, Section 51.976.

The rules will impose a requirement for all staff or volunteers in a position involving contact with campers at a campus program for minors to successfully complete an approved training and examination program on sexual abuse and child molestation; establish criteria for a training and examination program on sexual abuse and child molestation; require a training and examination program on sexual abuse and child molestation to be approved by DSHS; and provide civil penalties for a person violating the Act or a rule or order adopted under the Act.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for <u>each</u> substantive revision: The reviewers revisited the Texas Education Code Title 3, Subtitle A, Chapter 51, Subchapter Z and made clarifications and corrections to the policy definitions and code language.

Specific rationale for deletion of policy:

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

Additional Comments:

Reviewers:

Student Affairs Policy Review Committee
Carrie Charley, Executive Director , Campus Living, Dining & Auxiliaries
Brandon Frye, Vice President of Student Affairs
Damon Derrick, General Counsel

Campus Programs for Minors

Original Implementation: April 23, 2013
Last Revision: April ~~30, 2019~~*11, 2022*

Stephen F. Austin State University is committed to providing a safe environment for its students, employees and guests. The university sponsors programs on campus ~~from time to time that~~*that at times* involve minors *as participants*. *Campus shall mean all real property over which the university has possession and control by law*. In addition, the university may grant use of its facilities to third parties for programs that involve minors *as participants*. This policy provides for regulation of these campus programs for minors (CPM).

Definitions*~~: As detailed in Texas Education Code, Chapter 51, Subchapter Z, §51.976~~*

Abuse – includes the following acts or omissions by a person:

a. mental or emotional injury to a child that results in an observable and material impairment in the child's growth, development or psychological functioning;
b. causing or permitting the child to be in a situation in which the child sustains a mental or emotional injury that results in an observable and material impairment in the child's growth, development or psychological functioning;
c. physical injury that results in substantial harm to the child or the genuine threat of substantial harm from physical injury to the child, including an injury that is at variance with the history or explanation given and excluding an accident or reasonable discipline by a parent, guardian or managing or possessory conservator that does not expose the child to a substantial risk of harm;
d. failure to make a reasonable effort to prevent an action by another person that results in physical injury that results in substantial harm to the child;
e. sexual conduct harmful to a child's mental, emotional or physical welfare, including conduct that constitutes the offense of continuous sexual abuse of a young child or ~~children~~ *disabled individual* under Section 21.02, Penal Code, indecency with a child under Section 21.11, Penal Code, sexual assault under Section 22.011, Penal Code, or aggravated sexual assault under Section 22.021, Penal Code;
f. failure to make a reasonable effort to prevent sexual conduct harmful to a child;
g. compelling or encouraging the child to engage in sexual conduct as defined by Section 43.01, Penal Code, including compelling or encouraging the child in a manner that constitutes an offense of trafficking of persons under Section 20A.02(a)(7) or (8), Penal Code, *solicitation of* prostitution under Section 43.02~~(b)~~*1*, Penal Code, or compelling prostitution under Section 43.05(a)(2), Penal Code;
h. causing, permitting, encouraging, engaging in or allowing the photographing, filming or depicting of the child if the person knew or should have known that the resulting photograph,

film or depiction of the child is obscene as defined by Section 43.21, Penal Code, or pornographic;

i. the current use by a person of a controlled substance as defined by Chapter 481, Health and Safety Code, in a manner or to the extent that the use results in physical, mental or emotional injury to a child;
j. causing, expressly permitting or encouraging a child to use a controlled substance as defined by Chapter 481, Health and Safety Code;
k. causing, permitting, encouraging, engaging in or allowing a sexual performance by a child as defined by Section 43.25, Penal Code;
l. knowingly causing, permitting, encouraging, engaging in or allowing a child to be trafficked in a manner punishable as an offense under Section 20A.02(a)(5), (6), (7) or (8), Penal Code, or the failure to make a reasonable effort to prevent a child from being trafficked in a manner punishable as an offense under any of those sections; or
m. forcing or coercing a child to enter into a marriage.

Campus Program for Minors (CPM) – programs that:

a. include participants who are minors;
b. are operated by or on the campus of the university, including programs operated by third parties;
c. offer recreational, athletic, religious, or educational activities to participants for all or part of at least two (2) days.

Contact With Minor(s) – in the context of an employment or volunteer position described in this policy, interaction with minors that is direct and reasonably anticipated. The term does not include interaction that is merely incidental, or an employee or volunteer acting as a guest speaker, entertainer, or fulfilling any other role whose attendance at the campus program for minors is for a limited purpose or limited time if the employee or volunteer has no direct or unsupervised interaction with campers.

Minor – a child, under the age of 18, who is attending a campus program for minors.

Neglect –– *an act or failure to act by a person responsible for a child's care, custody, or welfare evidencing the person's blatant disregard for the consequences of the act or failure to act that results in harm to the child or that creates an immediate danger to the child's physical health or safety and* includes:

a. the leaving of a child in a situation where the child would be exposed to *an immediate danger* ~~a~~/-substantial risk of physical or mental harm, without arranging for necessary care for the child and the demonstration of an intent not to return by a parent, guardian or managing or possessory conservator of the child;
b. the following acts or omissions by a person:

1. placing a child in or failing to remove a child from a situation that a reasonable person would realize requires judgment or actions beyond the child's level of maturity, physical condition or mental abilities and that results in bodily injury or *an immediate danger/*~~a~~ substantial risk of ~~immediate~~ harm to the child;
2. failing to seek, obtain or follow through with medical care for a child, with the failure resulting in or presenting *an immediate danger/*~~a~~ substantial risk of death, disfigurement or bodily injury or with the failure resulting in an observable and material impairment to the growth, development or functioning of the child;
3. the failure to provide a child with food, clothing or shelter necessary to sustain the life or health of the child, excluding failure caused primarily by financial inability unless relief services had been offered and refused;
4. placing a child in or failing to remove the child from a situation in which the child would be exposed to *an immediate danger/*~~a~~ substantial risk of sexual conduct harmful to the child; or
5. placing a child in or failing to remove the child from a situation in which the child would be exposed to acts or omissions that constitute abuse under "Abuse" definitions (e), (f), (g), (h) or (k) committed against another child.

d. the failure by the person responsible for the child's care, custody, or welfare to permit the child to return to the child's home without arranging for the necessary care for the child after the child has been absent from the home for any reason, including having been in residential placement or having run away; or

e. a negligent act or omission by an employee, volunteer, or other individual working under the auspices of a facility or program, including failure to comply with an individual treatment plan, plan of case, or individualized service plan, that causes or may cause substantial emotional harm or physical injury to, or the death of, a child served by the facility or program as further described by rule or policy.

Neglect does not include the items specified under Tex. Family Code § 261.001(4)(B).

Reporting Neglect or Abuse

A person having cause to believe that a minor has been abused or neglected by any person shall immediately (within 48 hours) make a report to the University Police Department or other local law enforcement agency. This legal requirement must be communicated to all individuals participating in the management/supervision of CPMs and employees and volunteers of third- party camps utilizing university facilities.

Procedures for Campus Programs for Minors

The university will adopt a procedure for CPMs that will include, but not be limited to, the following:

a. *For the purposes of this policy, this designee is the Coordinator for Camp~~u~~s and Conferences and can be contacted at reservations@sfasu.edu*~~A designee(s) who is authorized to review and approve camps and programs for minors on behalf of the university~~;

b. Procedures for reporting suspected abuse/molestation of minors;

c. A requirement to purchase medical coverage through the university camp insurance program and to provide evidence of liability insurance endorsing sexual molestation coverage and listing the university as additionally insured at levels approved by and meeting the standards of Environmental Health, Safety, & Risk Management.

d. Payment of required CPM administration fees as may be assessed.

Required Training

This policy requires child abuse prevention training for employees/volunteers of CPMs and establishes standards for such camps and programs. *Training will not be required for university employees or third party personnel whose positions of employment do not involve contact with minors at a CPM.*

An individual hired or assigned to an employee or volunteer position involving contact with minors at a camp and program for minors is required to complete training and examination on sexual abuse and child molestation meeting the following criteria:

a. Successful completion of a Child Protection Training course approved by the Texas Department of State Health Services.

b. Training must be completed prior to the employees' or volunteers' interacting with minors.

c. A certificate of completion shall be kept on file for two years *by the program's operator (i.e., camp director).*~~.~~

d. Employees or volunteers of third-party camps using university facilities may substitute the university-approved training course with an approved course as listed with the Texas Department of State Health Services.

~~e. Training will not be required for university employees or third-party personnel whose positions of employment do not involve contact with minors at a CPM.~~

Cross Reference: Tex. Educ. Code § 51.976; Tex. Fam. Code §§ 261.001-.111; Texas

Department of State Health Services Approved Training Programs

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

Contact for Revision: ~~Director of Student Services~~*Executive Director of Campus Living, Dining, and Auxiliaries*

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Markers, Monuments, and Artwork

Policy Number: 16.17

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): Stephen F. Austin State University has a large dynamic campus that is constantly in a state of change to meet the various needs of the diverse departments that make up the university as a whole. There are limitations on where and how markers, monuments, and artwork may be added to or removed from the campus so as not to encumber future university needs. The rules articulated in this policy apply to all students, faculty, staff, and their approved organizations, as well as all other persons and groups.

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: Committee 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
Jill Still, Vice President for University Advancement
Damon Derrick, General Counsel

Markers, Monuments, and Artwork

Original Implementation: July 17, 2001
Last Revision: ~~January 29, 2019~~ *April 11, 2022*

Purpose

Stephen F. Austin State University has a large dynamic campus that is constantly in a state of change to meet the various needs of the diverse departments that make up the university as a whole. There are limitations on where and how markers, monuments, and artwork may be added to or removed from the campus so as not to encumber future university needs. The rules articulated in this policy apply to all students, faculty, staff, and their approved organizations, as well as all other persons and groups.

Definitions

Markers, monuments, or artwork include all types of features that are erected, affixed, or otherwise installed on any institutional building or land for a time period extending beyond 14 days.

Non-permanent markers, monuments, or artwork would be those meeting the criteria described in Policy 16.24, Section IV concerning signs displayed for 14 days or less.

General

Markers, monuments, or artwork including historical markers or signs, may be placed on or removed from campus when it is in the best interest of the university. ~~A committee will review all such requests. Nominations for a new marker, monument, or artwork and applications for removal of an existing marker, monument, or artwork may be found on the Physical Plant Department (PPD) website.~~ *The university master plan committee can review requests and make recommendations to the President's cabinet who will review location and design. The president will make the final determination on requests for non-permanent markers, monuments, or artwork. The president will make a recommendation to the Building & Grounds Committee of the Board of Regents for all other requests.*

Markers, monuments, or artwork placed on campus without prior written permission will be removed by the PPD. Removed items will be held for sixty (60) days prior to disposal. Notification will be provided if possible.

~~Committee~~

~~The vice president of finance and administration will appoint a markers, monuments, and artwork committee that includes one representative from each of the following: development, alumni, faculty, physical plant, university marketing and communications, and a student representative. Each faculty~~

~~and staff member will serve on the markers, monuments, and artwork committee for a term of two (2) years, with the possibility of reappointment. The SFA student representative will serve a term of one (1) year with the possibility of reappointment. The markers, monuments, and artwork committee will review all nominations for markers, monuments, and artwork as well as applications for deaccession of markers, monuments, and artwork. Upon review of the nominations and applications by the markers, monuments, and artwork committee, recommendations will be made to the vice president of finance and administration for final approval.~~

New Marker, Monument, or Artwork

Upon receipt of a ~~nomination~~ *request* for a new marker, monument, or artwork by a university stakeholder, ~~the markers, monuments, and artwork committee will review the nomination for a new marker, monument, or artwork for the following~~ *the university can consider the following*:

- Preservation of the beauty of the SFA campus;
- Historical significance;
- Advancement of the university's educational mission;
- Building access and campus circulation is not impeded;
- Size, scope, and relevance;
- Copyright;
- Safety;
- Prominence and location on campus;
- Aesthetic merit;
- Funding for costs including installation, maintenance, and insurance.

Please note that each marker, monument, or artwork ~~nomination~~ *request* will be considered individually based on the SFA campus master plan and SFA policy and procedure as well as current and future costs. The ~~markers, monuments, and artwork committee and/or the vice president of finance and administration~~ *University* reserves the right to refuse ~~nominations~~ *requests* for markers, monuments, and artwork after review of the ~~nomination~~ *request*.

Deaccession

Upon receipt of ~~an application~~ *a request* to remove a marker, monument, or artwork by a university stakeholder, ~~the markers, monuments, and artwork committee will review the application for the following~~ *the university can consider the following*:

- Safety;
- Aesthetic merit;
- Historical significance;
- Accidental loss or destruction;
- Repatriation;
- Educational value;

- Building access;
- Size, scope, and relevance;
- Condition;
- Prominence and location on campus;
- Cost of maintenance and insurance.

Please note that each marker, monument, and artwork ~~application~~ *request* for removal will be considered individually based on the SFA campus master plan and SFA policy and procedure as well as current and future costs. The ~~markers, monuments, and artwork committee and/or the vice president of finance and administration~~ *university* reserves the right to refuse ~~applications~~ *requests* for removal of markers, monuments, and artwork after review of the application.

Exceptions to ~~Committee~~ Review

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

Monuments will be purchased by the individual or group desiring to place the monument on the walk. Installation will be by PPD. The PPD will provide maintenance at the same level as the existing walk. Markers that are broken or otherwise damaged or lost will not be the responsibility of PPD. Requests to place a marker should be directed to the director of the physical plant.

The Walk of Recognition (located at SFA fountain plaza) includes markers and bricks as coordinated through the SFA Alumni Association. Requests and guidelines for placement of markers and bricks at the Walk of Recognition are established by the SFA Alumni Association separate from this policy.

Cross Reference: Signs and Exhibits (16.24)

Responsible for Implementation: Vice President for Finance and Administration*; Vice President for University Advancement*

Contact for Revision: Vice President for Finance and Administration*; Vice President for University Advancement*

Forms: ~~Nomination for a New Monument, Marker or Artwork, Application for Removal of an Existing Monument, Marker or Artwork on PPD website~~*None*

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Skating, Skateboarding, and Motorized Scooters

Policy Number: 13.20

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

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:

Definitions added and text updates for clarification.

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
John Fields, Chief of Police
Damon Derrick, General Counsel

Skating, Skateboarding, and Motorized Scooters

Original Implementation: January 24, 1989
Last Revision: April *11*~~30~~, 202*2*~~19~~

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

Definitions~~:~~

Skateboard *is* – a non-motorized device where two or more wheels are attached to a platform upon which the rider stands.

Rollerblades are *a* –shoe or device that attaches to a shoe, having one or more sets of wheels.

Hover Board *is* – a motorized personal vehicle consisting of a platform for the feet mounted on two wheels and controlled by the way the rider distributes their weight.

Motorized Scooters -*are*– ~~a~~ power stand-up scooter*s* using a small unit gas engine or electric motor.

Regulations~~:~~

1. Persons choosing to ride a skateboard or use rollerblades may do so as a means of transportation only on sidewalks while on the university campus.
2. Persons riding a skateboard or rollerblades shall keep all of the wheels on the ground while operating them as a means of transportation. At no time shall a rider perform any stunts or acts that could be deemed as stunts, or act in a way that impedes pedestrian traffic on the sidewalks.
3. The rider shall refrain from using a skateboard or rollerblades on any public street, parking garage facility, Homer Bryce Stadium, Johnson Coliseum, or in any building.
4. Persons riding a skateboard or rollerblades shall yield the right of way to all pedestrians, motorized vehicles, and bicycles.
5. Persons riding a skateboard or rollerblades shall not ride in or around any areas of construction on the university campus.
6. The use or storage of hover boards on campus is prohibited.
7. Motorized scooters *and motorized skateboards* are prohibited on campus unless prescribed by a qualified medical provider with appropriate medical documentation. Students must also receive approval by the Office of Disability Services.

8. Events that have been prearranged, with proper facility reservations, approval from the University Police Department, and under the direct supervision of the Campus Recreation Department, such as skateboarding club or rollerblading club practices and competitions, are not subject to these regulations.

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

Cross Reference: Accessibility for Persons with Disabilities (2.2); Parking and Traffic ~~Regulations~~ (13.14), as related to bicycles

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

Contact for Revision: Chief of University Police

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Solicitation on Campus

Policy Number: 16.25

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 of Student Affairs

Purpose of Policy (what does it do):

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Adjusted policy to refer alleged violations of this policy to the appropriate office for students or employees. Also updated references to comply with new law.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Student Affairs 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

Solicitation on Campus

Original Implementation: July, 1980
Last Revision: April ~~20, 2021~~*11, 2022*

Definitions

1. Solicitation means the sale or offer for sale of any property or service, whether for immediate or future delivery, and the receipt of, or request for, any gift or contribution. However, this term does not apply to an appointment between a student or employee~~,~~ and another person (solicitor)~~,~~ if the appointment does not interfere with or disturb the normal activities of the student or employee, or the university.
2. Campus shall mean all real property over which the university has possession and control by law.
3. University group shall mean a recognized student, faculty, or staff organization.
4. Outside group shall mean any organization or group that is not included within the term "university group."
5. University agent shall mean a person acting in the course and scope of that individual's employment on behalf of an academic college, department, or program, or a university council, committee, or auxiliary enterprise.
6. University function shall mean any activity directly sponsored by the university.
7. University department shall mean any academic or administrative department of the university.

Time, Place, and Manner Regulations

1. No solicitation shall be conducted in any building or structure on the campus. However, the following activities shall not be deemed to be solicitations prohibited by this section:
   a. From the day the residence halls open through the first day of classes each semester, the sale or offer for sale of any newspaper in an area designated by the appropriate university official.
   b. The distribution, sale or offer for sale of any newspaper, magazine, or other publication by means of a vending machine or rack in an area designated in advance by the appropriate university official.
   c. The sale or offer for sale of any food or drink item by means of a vending machine in an area designated in advance by the appropriate university official.
   d. The sale or offer for sale of any publication of the university or of any book or other printed material to be used in the regular academic work of the university.
   e. The operation by the university or its subcontractor of any bookstore, specialty store, laundry service, dining and retail facilities, student center, or other service facility maintained for the convenience of the students, faculty, and staff.
   f. The sale or offer for sale by the university or its sub-contractor of food and drink items,

programs, and tickets at athletic contests.

g. The collection of membership fees or dues by a university group.
h. The collection of admission fees for the exhibition of movies or other programs that are sponsored by the university, or a university group, and are scheduled in accordance with the Use of University Facilities (16.33) policy.
i. The posting of ads and for sale notices in newspapers or on campus kiosks designated for such purposes by the appropriate university official, provided that such ads and notices posted on bulletin boards conform to the Expressive Activities (16.4) policy.
j. University recognized groups conducting fund raising activities approved by the appropriate university official. The university requires that only members of the group approved to conduct fundraising may solicit directly. Non-members may not be used to solicit on behalf of the organization.
k. Other solicitation activities as approved by the appropriate university official.

2. No solicitation shall be conducted on the grounds, sidewalks, and streets of the campus except by:
   a. a university agent; or
   b. a university group.
3. Solicitation to buy complimentary copies of textbooks are specifically prohibited anywhere on the campus or in any building.
4. Only university departments and the SFA Alumni Association may be approved to solicit as agents of a commercial organization.
5. Solicitation conducted on the campus must not:
   a. disturb or interfere with the regular academic or institutional programs of the university;
   b. interfere with the free and unimpeded flow of pedestrian and vehicular traffic on the sidewalks and streets and at places of entry and exit to university buildings;
   c. harass or intimidate the person or persons being solicited; or
   d. violate an exclusivity agreement entered into with the university.

~~6.~~ *If an employee or faculty or staff organization violates the provisions of this policy, the incident should be reported to Human Resources.* If a~~n~~ ~~individual~~ *student* or *student* group violates the provisions of this policy, ~~the appropriate university official, with the approval of the vice president to whom that individual reports, may prohibit the offender from engaging in any solicitation on the university campus for a specified period~~

~~7.~~*6.*~~of time not to exceed one (1) year~~*an incident report should be filed with the Dean of Students Office. Any violations by an outside group should be reported to the Vice President for Finance and Administration.* In the case of a repeated violation of these rules, the following sanctions ~~shall~~ *may* apply:

   a. ~~The appropriate university official with the approval of the vice president to whom the individual reports~~*The Assistant Vice President of Student Affairs and Dean of Students, or their Designee*, may suspend or cancel the recognition status of an offending student organization.
   b. *The appropriate university official* ~~The appropriate university official, with the approval~~

~~of the vice president to whom the individual reports,~~ may suspend the use of university facilities by an offender in accordance with the Penalty and Hearing section of the Use of University Facilities (16.33) policy;

c. The university may prosecute an offender for trespass in accordance with Chapter 51 of the Texas Education Code.

Procedures for Conducting Raffles on Campus

1. University groups authorized to conduct raffles under the Charitable Raffle Enabling Act (Tex. Occ. Code Ch. 2002) may conduct raffles on campus
2. All proceeds from the sale of tickets must be spent for the charitable purposes of the organization.
3. The qualified university group is limited to ~~two~~ *four* (~~2~~*4*) raffles per calendar year (January 1 - December 31) and may not conduct more than one (1) raffle at a time. This will be monitored by the Office of Student Engagement ~~Programs~~ within the Division of Student Affairs.
4. The sponsoring university group may not promote the raffle through television, radio, newspaper, or other medium of mass communication by the use of paid advertising, or promote or advertise statewide, other than on the university group's internet website or through a publication or solicitation, including a newsletter, social media or e-mail, provided only to previously identified supporters of the university group, or sell or offer to sell tickets for the raffle statewide.
5. The university group conducting the raffle may not compensate a person directly or indirectly for organizing or conducting a raffle or for selling or offering to sell tickets to the raffle, unless that person is employed by the university group and the work organizing or conducting the raffle is no more than a de minimis portion of that person's employment with the university group. Persons who are not members of the university group may not sell or offer tickets to the raffle.
6. The university group conducting the raffle must have the prize in its possession or post bond for the full amount of the money value of such prize before raffle tickets are sold. The prize awarded at a raffle may not be money and the value of the prize may not exceed $~~2~~75,000. The following must be printed on each raffle ticket sold or offered for sale:
   a. the name of the university group conducting the raffle and the address of the organization or of a named officer of the organization;
   b. the price of the ticket; and
   c. a general description of each prize that has a value of more than $10 and is to be awarded in the raffle.

Financial Policies of Student Organizations

1. The Vice President *of*~~for~~ Student Affairs or designee may request a financial statement of any student organization at any time. The requirements of the financial statement shall be established by the *Assistant Vice President of Student Affairs and Dean of Students, or their*

Designee~~dean of student affairs~~.

2. Any registered student organization failing to comply with the provisions of this section may be subjected to sanctions provided by the Time, Place, and Manner Regulations section.

Additional Rules

In addition to these rules, solicitation conducted in:

a. residence halls must comply with the rules governing residence halls.
b. the Baker Pattillo Student Center must comply with the rules governing the Baker Pattillo Student Center; and
c. academic buildings must comply with the rules governing academic buildings.

Cross Reference: U.S. Const. amend. I; U.S. Const. amend. XIV, §1; Charitable Raffle Enabling Act, Tex. Occ. Code Ch. 2002; Tex. Educ. Code §§ 51.204, .209, 101; Use of University Facilities (16.33); Expressive Activities (16.4)

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

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

Forms: Fundraising Approval

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Space Assignment, Management, and Planning

Policy Number: 16.3

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

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

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

Purpose of Policy (what does it do): This policy establishes the process for assignment, reassignment, management, planning, and modification of Stephen F. Austin State University space to promote the most efficient stewardship of this limited resource.

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 Physical Plant Director
Damon Derrick, General Counsel

Space Assignment, Management, and Planning

Original Implementation: January 29, 2019
Last Revision: ~~None~~*April 11, 2022*

Purpose

This policy establishes the process for assignment, reassignment, management, planning, and modification of Stephen F. Austin State University space to promote the most efficient stewardship of this limited resource.

Definitions

Space means all interior buildings and facilities and exterior areas owned or leased by the university.

Educational and general (E&G) space means an area which is used for academic instruction, research, and support of the institution's mission. It does not include space that is permanently unassigned, or space used for operations independent of the institution's mission.

Auxiliary enterprise space are buildings and facilities that are managed as essentially self-supporting activities. Examples are residence halls, food services, student health services, intercollegiate athletics, retail spaces, campus recreation, and student center spaces.

Space management refers to oversight of all university space and the assignment and reassignment of such to remain in compliance according to this policy and state and federal codes, regulations, and laws.

Space planning means the creation of ideas, solutions, and recommendations for space-related needs.

Space assignment means allocating/designating space ~~to~~ *for use by* a particular individual or unit.

Space reassignment means reallocating/re-designating space ~~from~~ *for use by* one individual or unit to another.

Routine maintenance includes expenditures made for the normal upkeep of physical properties (i.e. land, buildings, and equipment) including recurring, preventive, and on-going maintenance necessary to delay or prevent the failure of critical and non-critical building systems and excludes work that requires emergency attention, alters the structure, or supports an event.

General

Stephen F. Austin State University (not any group, individual, or unit within it) owns and/or controls all interior and exterior spaces on campus as well as additional properties off-campus including leased properties. All space decisions are based upon the Higher Education Coordinating Board (THECB) space utilization requirements and aligned with academic, research, clinical, administrative, or community engagement needs which are consistent with the strategic initiatives of the university. The assignment, reassignment, alteration, and/or reclassification of space are made to meet the overall needs and best interests of the university. Oversight and management of space will remain in compliance with this policy and state and federal codes, regulations, and laws.

Space Assignment, Reassignment, Construction and/or Renovation

Assignment and utilization of university space shall be the decision of the president or his/her delegate, who is authorized to assign or reassign space to any unit on campus. The president may delegate such decision-making authority.

~~Space modification or design requests are required for all changes to university space including, but not limited to reassignment, reclassification, and changes to capacity, use, or function, and alteration or renovation not considered routine maintenance. Space modification or design requests are~~ *Changes to the use of space are* reviewed by the space ~~modification~~ *assessment* committee and*/or the university master plan committee and* recommendations are *made to the cabinet for final review.* ~~submitted to the provost and vice president for academic affairs and to the vice president for finance and administration for final approval regarding E&G space and to the vice president for university affairs and to the vice president for finance and administration for final approval regarding auxiliary space.~~

Vacated Space

Space vacated within an academic or administrative unit due to normal employee turnover may remain internally assigned within that unit at *the* discretion of the president or his/her designee. Space vacated by an academic or administrative unit that occurs due to a permanent reduction in workforce, downsizing or elimination of a unit, reorganization, or relocation reverts to the university administration for re-assignment.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: President

Forms: Request for space modification or design is located on the SFA business forms webpage.

Board Committee Assignment: Building and Grounds

Academic and Student Affairs Committee

Chief Executive Officer 2021-2022 Annual Report

TO:	Board of Regents
FROM:	Dr. Scott Gordon, Chief Executive Officer
DATE:	April 1, 2022
RE:	Chief Executive Officer Reporting Requirements under Tex. Educ. Code § 51.253(c)

Under the Texas Education Code (TEC), Section 51.253(c), the institution's Chief Executive Officer is required to submit a report at least once during each fall or spring semester to the institution's governing body and post on the institution's internet website said report concerning the reports received by employees under the TEC, Section 51.252. This report must include the number of reports received of alleged "sexual harassment," "sexual assault," "dating violence," or "stalking" as defined in the TEC, Section 51.251, the number of investigations conducted as a result of those reports, the number of reports for which the institution determined not to initiate disciplinary process, and any disciplinary actions taken under TEC, Section 51.255.

For the purposes of complying with the Chief Executive Officer's reporting requirements under TEC, Section 51.253(c), the attached summary data report[1] includes all of the required reporting information to the Board of Regents for the time period of April 1, 2021 through March 31, 2022. The summary data report is categorized based on the reporting requirements under TEC, Section 51.253(c). The reports received may be applicable in multiple reporting categories, and therefore, the summary data in the categories may not add up to the totals of other categories.

The summary data report is also posted on the institution's website as per the public reporting requirements under TEC, Section 51.253(c) at sfasu.edu/lumberjacks-care/317.asp.

Note: Any additional reports received by the Title IX Coordinator that do not meet the required reporting criteria in the Texas Education Code have been omitted for the compliance purposes of this specific report.

[1] When clearly identifiable, duplicate reports were consolidated and counted as one report in the summary data, and confidential employee reporting is noted as a sub-set to the total number of reports received.

CEO Summary Data Report

April 1, 2021 through March 31, 2022

Texas Education Code, Section 51.252	
Number of reports received under Section 51.252	**696**
Number of confidential reports[2] under Section 51.252	27
Number of unique cases created from reports received under Section 51.252	249
Number of reports under Section 51.252 for which the institution determined not to initiate a disciplinary process at this time	
a. Supportive Measures	2
b. Administrative Measures	1
c. Informal Resolution	1
d. Unidentified Complainant	16
e. Complainant Declined Formal Process	43
f. Complainant Did Not Respond to Contact attempts	86
g. Respondent Not Identified	0
h. Witness Report- Complainant nor Respondent Identified	9
i. Determined not to rise to a Violation of 2.13	45
j. No Jurisdiction- Resources Provided	19
k. No Jurisdiction- Interim Measures Provided	0
l. No Jurisdiction- For Informational Purposes	2
SUBTOTAL	**224**
Number of investigations in progress under Section 51.252	
a. Under review pending Complainant's response	17
b. Investigation under policy 2.13	
• Informal Resolution	2
• Formal Investigation	6
SUBTOTAL	**25**
Disposition[3] of any disciplinary processes for reports under Section 51.252:	
a. Concluded, No Finding of Policy Violation	0
b. Concluded, with Employee Disciplinary Sanction	0
c. Concluded, with Student Disciplinary Sanction	0
SUBTOTAL	**0**

Texas Education Code, Section 51.255	
Number of reports received that include allegations of an employee's failure to report or who submits a false report to the institution under Section 51.255(a)	**0**
Any disciplinary action taken, regarding failure to report or false reports to the institution under **Section 51.255(c)**:	
a. Employee termination	**0**
b. Institutional intent to termination, in lieu of employee resignation	**0**

[2] "Number of confidential reports" is a sub-set of the total number of reports that were received under Section 51.252, by a confidential employee or office (e.g., Counseling Center, Student Health Center, or a Victim Advocate for Students).

[3] "Disposition" means "final result under the institution's disciplinary process" as defined in the Texas Higher Education Coordinating Board's (THECB) rules for TEC, Section 51.259 [See 19 Texas Administrative Code, Section 3.6(3) (2019)]; therefore, pending disciplinary processes will not be listed until the final result is rendered.

Racial Profiling Report | Full

Agency Name: STEPHEN F. AUSTIN STATE UNIV.
Reporting Date: 02/04/2022
TCOLE Agency Number: 347005

Chief Administrator: JOHN FIELDS JR.

Agency Contact Information:
Phone: (936) 468-2252
Email: john.fields@sfasu.edu

Mailing Address:
P. O. BOX 13062
232 EAST COLLEGE STREET
NACOGDOCHES, TX 75962

This Agency filed a full report

STEPHEN F. AUSTIN STATE UNIV. has adopted a detailed written policy on racial profiling. Our policy:

1) clearly defines acts constituting racial profiling;

2) strictly prohibits peace officers employed by the STEPHEN F. AUSTIN STATE UNIV from engaging in racial profiling;

3) implements a process by which an individual may file a complaint with the STEPHEN F. AUSTIN STATE UNIV. if the individual believes that a peace officer employed by the STEPHEN F. AUSTIN STATE UNIV has engaged in racial profiling with respect to the individual;

4) provides public education relating to the agency's complaint process;

5) requires appropriate corrective action to be taken against a peace officer employed by the STEPHEN F. AUSTIN STATE UNIV. who, after an investigation, is shown to have engaged in racial profiling in violation of the STEPHEN F. AUSTIN STATE UNIV policy;

6) requires collection of information relating to motor vehicle stops in which a warning or citation is issued and to arrests made as a result of those stops, including information relating to:
a. the race or ethnicity of the individual detained;
b. whether a search was conducted and, if so, whether the individual detained consented to the search;
c. whether the peace officer knew the race or ethnicity of the individual detained before detaining that individual;
d. whether the peace officer used physical force that resulted in bodily injury during the stop;
e. the location of the stop;
f. the reason for the stop.

7) requires the chief administrator of the agency, regardless of whether the administrator is elected, employed, or appointed, to submit an annual report of the information collected under Subdivision (6) to:
a. the Commission on Law Enforcement; and
b. the governing body of each county or municipality served by the agency, if the agency is an agency of a county, municipality, or other political subdivision of the state.

The STEPHEN F. AUSTIN STATE UNIV has satisfied the statutory data audit requirements as prescribed in Article 2.133(c), Code of Criminal Procedure during the reporting period.

Executed by: Amanda Kennedy
Lieutenant

Date: 02/04/2022

Motor Vehicle Racial Profiling Information

Total stops: 831

Street address or approximate location of the stop	
City street	811
US highway	0
County road	1
State highway	0
Private property or other	19
Was race or ethnicity known prior to stop?	
Yes	45
No	786
Race / Ethnicity	
Alaska Native / American Indian	1
Asian / Pacific Islander	18
Black	204
White	517
Hispanic / Latino	91
Gender	
Female	**391**
Alaska Native / American Indian	1
Asian / Pacific Islander	7
Black	93
White	251
Hispanic / Latino	39
Male	**440**
Alaska Native / American Indian	0
Asian / Pacific Islander	11
Black	111
White	266
Hispanic / Latino	52
Reason for stop?	
Violation of law	**53**
Alaska Native / American Indian	0
Asian / Pacific Islander	1
Black	12
White	33

Hispanic / Latino	7
Preexisting knowledge	**1**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	0
White	0
Hispanic / Latino	1
Moving traffic violation	**514**
Alaska Native / American Indian	1
Asian / Pacific Islander	10
Black	128
White	319
Hispanic / Latino	56
Vehicle traffic violation	**263**
Alaska Native / American Indian	0
Asian / Pacific Islander	7
Black	64
White	165
Hispanic / Latino	27

Was a search conducted?

Yes	**20**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	7
White	10
Hispanic / Latino	3
No	**811**
Alaska Native / American Indian	1
Asian / Pacific Islander	18
Black	197
White	507
Hispanic / Latino	88

Reason for Search?

Consent	**3**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	2
White	1

Hispanic / Latino	0
Contraband	**1**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	1
White	0
Hispanic / Latino	0
Probable	**13**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	4
White	8
Hispanic / Latino	1
Inventory	**1**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	0
White	0
Hispanic / Latino	1
Incident to arrest	**2**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	1
White	0
Hispanic / Latino	1

Was Contraband discovered?

		Did the finding result in arrest? (total should equal previous column)			
Yes	**15**				
Alaska Native / American Indian	0	Yes	0	No	0
Asian / Pacific Islander	0	Yes	0	No	0
Black	4	Yes	2	No	2
White	9	Yes	3	No	6
Hispanic / Latino	2	Yes	1	No	1
No	**5**				
Alaska Native / American Indian	0				
Asian / Pacific Islander	0				
Black	3				
White	1				
Hispanic / Latino	1				

Description of contraband	
Drugs	**11**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	3
White	6
Hispanic / Latino	2
Weapons	**0**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	0
White	0
Hispanic / Latino	0
Currency	**0**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	0
White	0
Hispanic / Latino	0
Alcohol	**3**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	1
White	2
Hispanic / Latino	0
Stolen property	**0**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	0
White	0
Hispanic / Latino	0
Other	**1**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	0
White	1
Hispanic / Latino	0
Result of the stop	
Verbal warning	**685**

Alaska Native / American Indian	1
Asian / Pacific Islander	15
Black	179
White	420
Hispanic / Latino	70
Written warning	**28**
Alaska Native / American Indian	0
Asian / Pacific Islander	1
Black	1
White	22
Hispanic / Latino	4
Citation	**108**
Alaska Native / American Indian	0
Asian / Pacific Islander	2
Black	21
White	71
Hispanic / Latino	14
Written warning and arrest	**0**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	0
White	0
Hispanic / Latino	0
Citation and arrest	**3**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	1
White	0
Hispanic / Latino	2
Arrest	**7**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	2
White	4
Hispanic / Latino	1
Arrest based on	
Violation of Penal Code	**10**
Alaska Native / American Indian	0
Asian / Pacific Islander	0

Black	3
White	4
Hispanic / Latino	3
Violation of Traffic Law	**0**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	0
White	0
Hispanic / Latino	0
Violation of City Ordinance	**0**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	0
White	0
Hispanic / Latino	0
Outstanding Warrant	**0**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	0
White	0
Hispanic / Latino	0

Was physical force resulting in bodily injury used during stop?

Yes	**0**
Alaska Native / American Indian	0
Asian / Pacific Islander	0
Black	0
White	0
Hispanic / Latino	0
Resulting in Bodily Injury To:	
Suspect	0
Officer	0
Both	0
No	**831**
Alaska Native / American Indian	1
Asian / Pacific Islander	18
Black	204
White	517
Hispanic / Latino	91

Number of complaints of racial profiling

Total	0
Resulted in disciplinary action	0
Did not result in disciplinary action	0

Comparative Analysis

Use TCOLE's auto generated analysis ☐

Use Department's submitted analysis ☒

Optional Narrative

N/A

Submitted electronically to the

The Texas Commission on Law Enforcement

ENHANCING ENROLLMENT WITH THE ADDITION OF STUNT ATHLETIC PROGRAM

Explanation:

Knowing SFA's enrollment is of high importance, it is important to introduce strategies and tactics that can positively contribute to SFA's enrollment and have an on-going contribution to the enrollment.

STUNT is considered to be one of the fastest growing sports in the country. *STUNT is a new female sport that incorporates skills derived from cheerleading. STUNT is an exciting head-to-head game between two teams who execute skills-based routines in various categories – partner stunts, jumps & tumbling, pyramids & tosses, and team routines.* Adding a STUNT program at SFA would be separate from Cheer; thus, truly adding to enrollment and avoiding double dipping.

Adding STUNT is an initiative that grows First Year and Undergraduate populations. Growing enrollment within this population is key as a First-Year student on average generates 14.5 credit hours a semester and contributes to undergraduate enrollment for four-six years. This population also generates significant auxiliary funding due to on-campus residential requirement for a student's first two years. Adding a STUNT program would provide an enrollment increase of 35 first year students in 2023, which alone would be a 2.1% increase of the First-Year students entering in fall 2021. The program would grow in year two and target an ongoing roster of 50 undergraduate students.

The current STUNT status in Texas and bordering states:

	Club	Varsity/Sport	NCAA Division
Texas publics	Texas Tech Univ UT Austin	Texas Woman's Univ UT Tyler	II II
Texas privates		Austin College Dallas Baptist Univ Saint Mary's Univ	III II II

Border states	Southern Arkansas (AR) Connors State (OK) Oklahoma State (OK) Southwestern Christian (OK)	Centenary College (LA) Oklahoma Baptist (OK) Oklahoma City (OK)	III II NAIA

STUNT does not compete at a division level. However, adding STUNT would make SFA the only Division I school within a five-state area with STUNT listed as a Women's Sports. This could definitely serve as a positive in recruitment.

Additional factors to consider:

- The budget model for the STUNT program is designed to be self-sustainable.
- There is a growing number of STUNT clubs/programs at Texas high schools and clubs; particularly in our DFW and Houston markets.
- Once SFA has a STUNT program established, there would be opportunity to serve as a host site for STUNT tournaments that would bring groups of high school aged students (and their families) to campus.
- The city of Nacogdoches would also experience a positive impact to its economy with the addition of STUNT by serving as a host site for games, tournaments, workshops.

Recommendation:

The administration recommends enhancing enrollment by adding STUNT to the SFA Athletics program for fall 2023.

STEPHEN F. AUSTIN
STATE UNIVERSITY
NACOGDOCHES, TEXAS

Board of Regents – Action Item for April 2022

Action Item - Enhancing enrollment with the addition of STUNT athletic program.

Explanation: This proposal aligns with the strategy to grow enrollment by focusing on initiatives that grow First Year and Undergraduate populations. Adding STUNT would provide an enrollment increase of first year students in 2023, it would grow in year two and sustain an ongoing contribution to increasing SFA's undergraduate enrollment.

STUNT is considered to be one of the fastest growing sports in the country. *STUNT is a new female sport that incorporates skills derived from cheerleading. STUNT is an exciting head-to-head game between two teams who execute skills-based routines in various categories – partner stunts, jumps & tumbling, pyramids & tosses, and team routines.* Adding a STUNT program at SFA would be separate from Cheer; thus, truly adding to enrollment and avoiding double dipping.

Cross Divisional Collaboration:

Enrollment Management, in collaboration with Student Affairs and Athletics, is leading this proposal to benefit enrollment of undergraduate students. STUNT is considered to be one of the fastest growing sports in the country. Both Athletics and Spirit have been monitoring STUNT as a sport and have been assessing the benefits to the University. The team has met with Amy Haney from USA Cheer to gather information on adding STUNT at SFA. The addition of a STUNT program would be separate from Cheer; the program would not pull from Cheer; thus, truly adding to enrollment and avoiding double dipping. Steps are underway to transition Spirit Team under Athletics, which would align with adding STUNT to Athletics. Enrollment Management sees this as an opportunity to target an audience that would positively contribute to the SFA culture and community.

Enrollment Benefits:

- Increase of 35 students year one (2023), growing into 50 students in 2024 and forward.
- Generate approximately 1000 SCH in first academic year; and 1,400 SCH in subsequent academic years.
- Projected university retention of 90% for STUNT team based on successful university retention of Cheer and Dance programs.
- Student type that would live on campus, generating additional auxiliary funds.
- Supports diversity of sports program (gender based). Title IX compliant.

The current STUNT status in Texas and bordering states:

	Club	**Varsity/Sport**	**NCAA Division**
Texas publics	Texas Tech Univ UT Austin	Texas Woman's Univ UT Tyler	II II
Texas privates		Austin College Dallas Baptist Univ Saint Mary's Univ	III II II
Border states	Southern Arkansas (AR) Connors State (OK) Oklahoma State (OK) Southwestern Christian (OK)	Centenary College (LA) Oklahoma Baptist (OK) Oklahoma City (OK)	III II NAIA

STUNT does not compete at a division level. However, adding STUNT would make SFA the only Division I school within a five-state area with STUNT listed as a Women's Sports. This could definitely serve as a positive in recruitment.

The Texas public colleges with STUNT are spread out across the state. Based on location, the school with an existing STUNT program that would compete the most with an SFA STUNT program would be UT Tyler. It is a school that SFA regularly has overlap in undergraduate applications. Currently, the DFW market is the most saturated with STUNT programs having TWU (Denton), Austin College (Sherman) and Dallas Baptist University (Dallas).

A STUNT program at SFA would be considered as a collegiate sport, this sport does not compete at a division level. However, adding STUNT to SFA Athletics would make SFA the only Division I school in the state with STUNT listed as a Women's Sports. This could definitely serve as a positive in recruitment.

Recruiting at the college level targets existing high schools and clubs with STUNT athletes, cheerleaders, gymnasts, and weightlifters. SFA's current Spirit Coach is familiar with combine and/or tournament venues to recruit for STUNT program; having an established knowledge and experience with the recruitment landscape will prove beneficial in recruiting for this sport. Once SFA has a STUNT program established, there would be opportunity to serve as a host site for STUNT tournaments that would bring groups of high school aged students to campus. This would not only benefit recruitment for the STUNT program, but it would serve as a tactic to have prospective high school students experience SFA.

The city of Nacogdoches would also experience a positive impact to its economy with the addition of STUNT. Once established, SFA would be in a position to serve as a host site for tournaments or game. A STUNT game usually hosts 12-14 teams. This would bring in family to the city to watch their student athlete, generating lodging and restaurant activity. In addition to tournaments, SFA could serve as host site for combines which targets high school aged

students; combine size can range from 75-100 students. This type of activity would also generate exposure and economic activity for the city.

Proposed Budget:

The budget model for the STUNT program is designed to be self-sustainable. Scholarship expense would be funded by tuition and fee revenue generated from the STUNT student athletes. Program expenses would be covered first; additional funds generated would be provided to the institution's general revenue fund. The cost to implement a STUNT program is considered low cost; however, it is a sport that can produce high profit margins. Onboarding costs can be low due to low equipment costs (already have mats), facility, and game operations.

Below outlines a proposed budget outlining expenses and revenue generation related to implementing STUNT.

Expenses		**Revenue**	
Team Travel	$25,000	Tuition/Fees (Scholarship S/As)	$75,000
Recruiting	$5,000	Tuition/Fees (Non-Scholarships S/As)	$455,000
Scholarships	$75,000	Self-generated Revenue	$25,000
Salary/Benefits	$65,000	Auxiliary (room, board, parking)	$340,025
O&M	$25,000		
TOTAL	$195,000.00	TOTAL	$895,025.00

Revenue addition to institution (w/ scholarship)	$700.025
Revenue addition to institution (w/o scholarship)	$625,025

Targeted Timeline:

- Jan – Feb, 2022 Information gathering. Draft proposal
- February Present to Cabinet for approval.
- March 22 Prepare for Board Action Item
- April 10-12 Board of Regents Agenda Item
- Summer Prepare Recruitment Plan and Marketing Materials
- Aug – Oct Attend fall recruiting combines (8-10 in fall)
- Spring 2023 Recruit 35 student athletes for STUNT program

- Fall 2023 Enroll SFA's first STUNT team
- Fall 2024 Expand program from 35 to 50
- Fall 2024 Plan for SFA serving as a host site for STUNT tournaments

Recommendation: The administration recommends enhancing enrollment by adding STUNT to the SFA Athletics program to go into effective for fall 2023.

EXTEND THE TEST-OPTIONAL ADMISSION REQUIREMENT FOR 2023 TERMS

Explanation:

In response to the pandemic, the SAT/ACT test administration has been disrupted due to limited test sites and/or space at test sites since spring 2020. High school students preparing for college continue to find taking the SAT/ACT a challenge.

Current policy 6.20 requires first-semester freshman to submit official test results from either the ACT or the SAT. If an applicant does not have an official ACT/SAT test score, their application is considered incomplete and is not processed or reviewed for admissions.

Since spring 2020, the SAT/ACT requirement for first-year applicants was waived a total of three times for 2020, 2021, and 2022 terms. The waiving of the SAT/ACT requirement was done under the authority given to Dr. Gordon to modify university policies during the impact period of COVID.

SAT/ACT test administrations continues to be a challenge with limited space at test sites or lack of test sites themselves. Preparation is under way for the recruitment and application season for 2023. The ApplyTexas opens July 1, 2022 for fall 2023.

A number of four-year institutions have confirmed the continuation of a test-optional practice for the 2023 terms. It is important SFA remains comparable and competitive with other Texas four-year institutions.

Recommendation:

Based on this information, Enrollment Management is requesting to have University Policy 6.20, Undergraduate Admissions and Credits extend the test-optional admission practice for all 2023 terms. Enrollment Management is recommending that the University continue to waive the college entrance exam (SAT/ACT) requirement for the 2023 terms. Applicants who submit all other application requirements, minus the SAT or ACT, will continue to be reviewed holistically through individual file review with an emphasis put on high school academic performance.

STEPHEN F. AUSTIN
STATE UNIVERSITY
NACOGDOCHES, TEXAS

Board of Regents – Action Item for April 2022

Action Item – Extend the test-optional admission requirement for 2023 terms.

Explanation: In response to the pandemic, the SAT/ACT test administration has been disrupted since spring 2020. Due to limited test sites and/or space at test sites, high school students preparing for college continue to find taking the SAT/ACT a challenge.

Currently, policy 6.20 requires first-semester freshman to submit official test results from either the ACT or the SAT. If an applicant does not have an official ACT/SAT test score, their application is considered incomplete and is not processed or reviewed for admissions.

WHY: The request is being made with the following factors in mind:

- Due to COVID-19 SAT test administrations continues to be a challenge with limited space due to appropriate social distancing or lack of test sites. The test requirement was waived in mid-spring 2020 and has continued to be waived for 2021 and 2022 terms.
- Continuing test optional would provide a full cohort to come through and assess retention for one full year. One year retention for cohort fall 2021 class will be available in fall 2022. This will also give the University, with all appropriate parties involved, time to research the impact of permanently moving to a test-optional practice.
- ApplyTexas opens July 1 for fall 2023 and we are having schools, students and parents asking if we will be test optional in 2023.
- It is important to remain competitive with other Texas four-year institutions. As of March 18, 2022, test-optional accommodations, utilizing holistic review continues to be practiced by the following Texas institutions:

University	Test-optional direction	Notes
Angelo State	Extend to Fall 2023	Confirmed
Lamar	Permanently Test-Optional	Confirmed
Texas State University	Extend to Fall 2023	Presenting to BOR with language to continue practice for future terms with having to return for BOR approval.
Sam Houston University	Extend to Fall 2023	Expanded test optional into future, option to change criteria based on student success data
Trinity University	Test-Optional 2021 to 2023	Confirmed
Texas Tech University	Extend to Fall 2025	Confirmed
Texas Woman's University	Extend to Fall 2023	Confirmed
UT San Antonio	Extend to Fall 2023	Waiting for UT System approval
UNT	Permanently Test-Optional	Confirmed
Texas A&M University	Extend to Fall 2023	Waiting for BOR approval
University of Houston	TBD	Gathering data for recommendation
University of Texas Arlington	Extend to Fall 2023	Waiting on UT System approval
UT Austin	TBD	Waiting on UT System approval
UT San Antonio	Extend to 2023	Waiting for BOR approval
UT Tyler	TBD	Still being decided

Recommendation: Based on this information, Enrollment Management is requesting to have University Policy 6.20, Undergraduate Admissions and Credits extend the test-optional admission practice for all 2023 terms. Enrollment Management is recommending that the University continue to waive the college entrance exam (SAT/ACT) requirement for the 2023 terms. Applicants who submit all other application requirements, minus the SAT or ACT, will continue to be reviewed holistically through individual file review with an emphasis put on high school academic performance.

CURRICULUM CHANGES FOR 2022-23

Explanation:

Changes in curriculum originate in the departments and are reviewed by the colleges and university curriculum committees, the graduate council, the appropriate dean and the provost and vice president for academic affairs. After approval by the Board of Regents curriculum changes are submitted to the Texas Higher Education Coordinating Board.

Recommendation:

It is recommended by the administration that the Board of Regents approve the undergraduate and graduate curriculum changes as presented to be effective fall 2022.

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Undergraduate Program Additions (Submitted for board approval April 2022)	
Nelson Rusche College of Business	
College of Business	
Economics	Banking Essentials Certificate
James I. Perkins College of Education	
Human Sciences	Aviation Minor
Human Sciences	Interior Design Certificate
Human Sciences	Composite Certification Concentration Human Sciences BS
Human Sciences	Technology Software Applications for the Built Environment Certificate
College of Fine Arts	
Theatre	Musical Theatre Minor
Theatre	Certificate in Acting
College of Sciences & Mathematics	
Computer Science	Data Analytics, Minor

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Undergraduate Program Modifications (Submitted for board approval April 2022)	
Nelson Rusche College of Business	
Accounting	Accounting, BBA
Bus Com & Legal Studies	General Business, BBA
Bus Com & Legal Studies	Business Communication and Corporate Education, BBA
Economics	Banking , BBA
Economics	Business Economics, BBA
Economics	Economics, BA
Economics	Finance, BBA
Mgt and Marketing	Digital Business Minor
Mgt and Marketing	Entrepreneurship, BBA
Mgt and Marketing	Human Resource Mgt, BBA
Mgt and Marketing	International Business, BBA
Mgt and Marketing	Management, BBA
Mgt and Marketing	Marketing, BBA
Mgt and Marketing	Sports Business, BBA
James I. Perkins College of Education	
Education Studies	Deaf and Hard of Hearing BS
Education Studies	Deaf Studies Minor
Education Studies	Education Studies Concentration, BSIS
Human Sciences	Aviation, BS
Human Sciences	Construction Mgt BS
Human Sciences	Construction Mgt Minor
Human Sciences	Construction Mgt Certificate
Human Sciences	Dietetics and Nutritional Sciences, BS
Human Sciences	Food and Nutrition, BS
Human Sciences	Food and Nutrition Minor
Human Sciences	Nutrition in Healthcare, Minor
Human Sciences	Family and Consumer Sciences Conc, Humans Sciences, BS
Human Sciences	Hospitality Administration, BS
Human Sciences	Interior Design, BS
Human Sciences	Interior Design Minor
Human Services	Public Health, BS
Kinesiology	Public Health Minor
College of Fine Arts	
Music	Jazz Studies, Minor
College of Forestry & Agriculture	
AGS	Sustainability Minor
College of Liberal & Applied Arts	
English and CW	English, BA
Government	Pre-Law Minor
LCC	Leadership Minor

Multidisciplinary Programs	BAAS
Multidisciplinary Programs	Leadership Minor
Psychology	Psychology Major
College of Sciences & Mathematics	
Biology	Biology, BS
Chemistry	Chemistry, BS
Chemistry	Biochemistry, BS
Computer Science	Computer Information Systems, BS
Computer Science	Computer Science, BS
Computer Science	Data Analytics, BS
Computer Science	Information Technology, BA
Math	Mathematics, BS
Physics-Engr	Electrical Engineering, BS
Physics-Engr	Engineering Physics, BS
Physics-Engr	Mechanical Engineering, BS
Physics-Engr	Physics, BS

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Undergraduate Program Deletions	
(Submitted for board approval April 2022)	
College of Fine Arts	
Music	Pre-Certification: Elementary, BM
Music	Music, Teaching: Elementary Music, BM
College of Sciences & Mathematics	
Physics-Engr	Physics-Engineering Dual Degree Conc

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Undergraduate Course Additions (Submitted for board approval April 2022)	
Nelson Rusche Collge of Business	
Bus Com & Legal Studies	BUSI 1000
Economics	ECON 4360
Mgt and Marketing	MGMT 3333
Mgt and Marketing	MGMT 4373
James I. Perkins College of Education	
Education Studies	DFHH 3329
Human Sciences	HMSC 4150
Human Sciences	INDS 1326
Human Sciences	INDS 2370
Kinesiology	HLTH 2360
Kinesiology	HLTH 3360
Kinesiology	HLTH 4320
Kinesiology	HLTH 4350
College of Fine Arts	
Theatre	DRAM 2001
Theatre	DRAM 2301
Theatre	DRAM 3040
Theatre	DRAM 3340
Arthur Temple College of Forestry & Agriculture	
Agriculture	AGED 4353
Forestry	FORS 3000
Forestry	GISC 4002
Forestry	GISC 4302
College of Liberal & Applied Arts	
AGS	SOCI 4360
English and CW	ENGL 4390
Government	GOVT 4320
College of Sciences & Mathematics	
Dean's Office	JTCH 1203
Dean's Office	JTCH 2190
Dean's Office	JTCH 4190
Computer Science	CSCI 1462

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022)	
Undergraduate Course Modifications (Submitted for board approval April 2022)	
Nelson Rusche College of Business	
Economics	FINC 4375
Economics	FINC 4379
Economics	FINC 4385
Mgt and Marketing	MGMT 2372
Mgt and Marketing	MGMT 3372
Mgt and Marketing	MGMT 4170
Mgt and Marketing	MGMT 4344
Mgt and Marketing	MGMT 4363
Mgt and Marketing	MGMT 4385
Mgt and Marketing	MKTG 3355
Mgt and Marketing	MKTG 4325
Mgt and Marketing	MKTG 4355
Mgt and Marketing	MKTG 4357
James I. Perkins College of Education	
Education Studies	DFHH 3350
Education Studies	DFHH 3370
Education Studies	DFHH 4301
Education Studies	DFHH 4302
Education Studies	DFHH 4303
Education Studies	MLGE 4111
Education Studies	MLGE 4251
Human Sciences	CMGT 1119
Human Sciences	CMGT 1219
Human Sciences	CMGT 3114
Human Sciences	CMGT 3214
Human Sciences	CMGT 3316
Human Sciences	CMGT 3319
Human Sciences	HAMG 2313
Human Sciences	HAMG 2317
Human Sciences	HMSC 4100
Human Sciences	HMSC 4326
Human Sciences	INDS 1149
Human Sciences	INDS 1249
Human Sciences	INDS 1311
Human Sciences	INDS 1325
Human Sciences	INDS 1370
Human Sciences	INDS 2103
Human Sciences	INDS 2105
Human Sciences	INDS 2108
Human Sciences	INDS 2113

Human Sciences	INDS 2205
Human Sciences	INDS 2208
Human Sciences	INDS 2213
Human Sciences	INDS 2317
Human Sciences	INDS 3116
Human Sciences	INDS 3121
Human Sciences	INDS 3125
Human Sciences	INDS 3216
Human Sciences	INDS 3221
Human Sciences	INDS 3225
Human Sciences	INDS 3311
Human Sciences	INDS 4100
Human Sciences	INDS 4112
Human Sciences	INDS 4113
Human Sciences	INDS 4114
Human Sciences	INDS 4212
Human Sciences	INDS 4214
Human Sciences	INDS 4310
Human Sciences	INDS 4318
Human Sciences	RSTO 3301
Human Sciences	RSTO 3305
Human Sciences	RSTO 3325
Human Sciences	TRVM 4317
Kinesiology	DANC 1241
Kinesiology	DANC 1244
Kinesiology	DANC 1247
Kinesiology	HLTH 4170
Kinesiology	HLTH 4180
Kinesiology	KINE 4117
Arthur Temple College of Forestry & Agriculture	
Agriculture	HORT 2220
College of Liberal & Applied Arts	
English and CW	ENGL 1302
English and CW	ENGL 4374
Government	CRIJ 4342
Mass Communication	MCOM 3342
Mass Communication	MCOM 4330
Psychology	PSYC 3330
Psychology	PSYC 3341
Psychology	PSCY 3380
College of Sciences & Mathematics	
Biology	BIOL 1306
Biology	BIOL 3431
Biology	BIOL 3443

Biology	BIOL 3481
Biology	BIOL 4434
Biology	BIOL 4442
Biology	BIOL 4444
Biology	BIOL 4446
Biology	BIOL 4448
Biology	BIOL 4484
Chemistry	CHEM 1071
Chemistry	CHEM 1371
Computer Science	CSCI 3342
Computer Science	CSCI 3362
Computer Science	CSCI 4260
Computer Science	CSCI 4270
Computer Science	CSCI 4362
Dean's Office	JTCH 3311
Dean's Office	JTCH 4351
Dean's Office	JTCH 4901
Geology	GEOL 4310
Geology	GEOL 4333
Math	MATH 1351
Math	MATH 3180
Math	MATH 3325
Nursing	NURS 3158
Physics-Engr	ASTR 3305
Physics-Engr	ENGR 3301
Physics-Engr	ENGR 4145
Physics-Engr	ENGR 4341
Physics-Engr	ENGR 4342
Physics-Engr	ENGR 4353
Physics-Engr	ENGR 4354
Physics-Engr	ENGR 4355
Physics-Engr	PHYS 3347
Physics-Engr	PHYS 4372
Provost's Office	
Student Success Center	SFAS 1101

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Undergraduate Course Deletions (Submitted for board approval April 2022)	
College of Sciences & Mathematics	
Biology	BIOL 1113
Biology	BIOL 1313
Biology	BIOL 3050
Biology	BIOL 3350
Computer Science	BCIS 1305
Physics-Engr	PHYS 1018
Physics-Engr	PHYS 1318
Physics-Engr	PHYS 4010
Physics-Engr	PHSY 4410
College of Liberal & Applied Arts	
Psychology	PSYC 3041
Psychology	PSYC 3130

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Graduate Program Additions (Submitted for board approval April 2022)	
James I. Perkins College of Education	
Education Studies	Curriculum and Instruction, M.Ed.
College of Fine Arts	
Music	Performing Artist Cert
College of College of Liberal and Applied Arts	
English &CW	Advanced Cert in Professional Writing

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Graduate Program Modifications (Submitted for board approval April 2022)	
Nelson Rusche College of Business	
Accounting	Master of Prof Accountancy
James I. Perkins College of Education	
Education Studies	Teaching, MAT
Human Services	School Psychology for the Post-Bac, Ph.D.
Human Services	School Psychology, MA
Human Services	Applied Behavior Analysis Cert
Human Services	Applied Educational Psychology MA
Human Services	Athletic Director Conc
Human Services	Student Affairs and Higher Ed, MA
College of Liberal & Applied Arts	
English &CW	English, MA
English &CW	Adv English Pedagogy Cert
Government	National Security, MA
Government	National Security, MA, Thesis Option
Government	Public Administration, MPA
Psychology	Teaching College Psychology Certificate
College of Sciences & Mathematics	
CoSM Dean's Office	Natural and Applied Sciences, MS
Nursing	Family Nurse Practitioner, MSN
Nursing	Nursing Education, MSN

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Graduate Program Deletions	
(Submitted for board approval April 2022)	
College of Sciences & Mathematics	
Math	School Math Teaching, Middle-Level Conc, MS
Math	School Math Teaching, Secondary-Level Conc, MS

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Graduate Course Additions (Submitted for board approval April 2022)	
Nelson Rusche Collge of Business	
Accounting	ACCT 5320
James I. Perkins College of Education	
Education Studies	CIED 5300
Education Studies	CIED 5301
Education Studies	CIED 5302
Education Studies	CIED 5303
Education Studies	CIED 5304
Education Studies	SEED 5345
Human Sciences	HUSC 5150
Human Services	SPSY 5315
Human Services	SPSY 6317
College of Liberal & Applied Arts	
Government	NISS 5316
Government	PADM 5190
Government	PADM 5389
College of Sciences & Mathematics	
Biology	BIOL 5355
Biology	BIOL 6018
Biology	BIOL 6318
Math	MATH 5378
Math	MATH 5388
Math	STAT 5360
Physics-Engineering	PHYS 5331

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022)	
Graduate Course Modifications (Submitted for board approval April 2022)	
James I. Perkins College of Education	
Education Studies	CIED 5305
Education Studies	SPED 5356
Education Studies	SPED 5600
Human Sciences	HDFS 5351
Human Sciences	NUTR 5339
Human Services	SAHE 5356
Human Services	SPSY 5304
Human Services	SPSY 5351
Human Services	SPSY 6334
Human Services	SPSY 6342
College of Fine Arts	
Music	MUTC 5363
Theatre	DRAM 5080
Theatre	DRAM 5380
College of Liberal & Applied Arts	
AGS	SOCI 5351
English &CW	ENGL 5302
English &CW	ENGL 5352
Government	NISS 5304
Psychology	PSYC 5328
College of Sciences & Mathematics	
Biology	BIOL 5189
Computer Science	CSCI 5312
Computer Science	CSCI 5322
Computer Science	CSCI 5345
Computer Science	CSCI 5348
Computer Science	CSCI 5362
Geology	GEOL 5190
Math	MATH 5186
Math	MATH 5187
Math	MATH 5189
Math	MATH 5190
Math	MATH 5375
Math	MTED 5186
Math	MTED 5187
Math	MTED 5189
Math	MTED 5190
Math	MTED 5385
Math	STAT 5186
Math	STAT 5187

Math	STAT 5189
Math	STAT 5190
Math	STAT 5385
Nursing	NURS 5362
Physics-Engineering	PHYS 5189
Physics-Engineering	PHYS 5320
Physics-Engineering	PHYS 5330
Physics-Engineering	PHYS 5332
Physics-Engineering	PHYS 5350
Physics-Engineering	PHYS 5351
Physics-Engineering	PHYS 5381

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Graduate Course Deletions (Submitted for board approval April 2022)	
College of Education	
Education Studies	SEED 5391
Education Studies	SEED 5392
College of College of Liberal and Applied Arts	
Government	PADM 5176
Government	PADM 5375
College of Sciences & Mathematics	
Physics-Engineering	PHYS 5433

CURRICULUM CHANGE FOR SUMMER 2022

Explanation:

Changes in curriculum originate in the departments and are reviewed by the colleges and university curriculum committees, the graduate council, the appropriate dean and the provost and vice president for academic affairs. After approval by the Board of Regents curriculum changes are submitted to the Texas Higher Education Coordinating Board.

Recommendation:

It is recommended by the administration that the Board of Regents approve the graduate curriculum change as presented to be effective summer 2022.

GRADUATE CURRICULUM CHANGES -Effective Summer 2022 Graduate Course Additions (Submitted for board approval April 2022)	
Nelson Rusche College of Business	
Accounting	ACCT 5320

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:

Academic Accommodation for Students with Disabilities 6.1
Administrative Systems Software Changes 16.2
Compensation from Grants, Contracts and Other Sponsored Agreements 12.1
Discontinuance of Program or Academic Unit 5.9
Effort Reporting and Certification for Sponsored Activities 8.1
Email for University Communication 15.1
File Maintenance for Faculty Personnel Files 4.6
Financial Conflicts of Interest in Sponsored Activities 8.2
Guest Speaker 16.12
Grants and Contracts Administration 8.3
Institutional Animal Care and Use Committee (IACUC) 8.6
New Employee Orientation 11.17
News Releases 15.3*
Payments to Human Research Subjects 8.8
Reproduction of Copyrighted Works by Educators and Librarians 9.2
Student Records 2.10
University Publications 15.8*

*Note: Change includes a change in the policy name.
15.3 – News Releases and Media Contact
15.8 - University Publications, Mass Email, and Webpages

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Academic Accomodation for Students with Disabilities

Policy Number: 6.1

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

Date of last revision, if applicable: 4/30/2022

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

Purpose of Policy (what does it do): This policy helps SFA comply with ADA in regards to fundamental principles of nondiscrimination and accomodations of academic programs.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor updates 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
Michara DeLaney-Fields, Chief Diversity Officer
Damon Derrick, General Counsel

Academic Accommodation for Students with Disabilities

Original Implementation: July 14, 1998
Last Revision: April ~~30, 2019~~*11, 2022*

It is the policy of Stephen F. Austin State University to comply with the fundamental principles of nondiscrimination and accommodation in academic programs set forth in the implementing regulations for Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 (ADA), as amended by the Americans with Disabilities Act Amendments Act of 2008 (ADAAA).

The law provides that:

No qualified student with a disability will, on the basis of disability, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any academic, research, occupational training, housing, health insurance, counseling, financial aid, physical education, athletics, recreation, transportation, other extracurricular, or other postsecondary education aid, benefits, or services. [34 C.F.R. § 104.43(a)]

and

An institution will make such modifications to its academic requirements as are necessary to ensure that such requirements do not discriminate or have the effect of discriminating, on the basis of disability, against a qualified applicant or student with a disability. Academic requirements that the institution can demonstrate are essential to the instruction being pursued by such student or to any directly related licensing requirement will not be regarded as discriminatory. Modifications may include changes in the length of time permitted for the completion of degree requirements, substitution of specific courses required for the completion of degree requirements, and adaptation of the manner in which specific courses are conducted. [34 C.F.R. § 104.44(a)]

Neither Section 504 nor the ADA requires universities to lower their academic standards or substantially alter the essential elements of their courses or programs to accommodate students with disabilities. The requirement to provide reasonable accommodations is designed to afford an equal opportunity for students with disabilities. Achieving reasonable accommodations for a student with a disability involves shared responsibility among students, faculty and staff.

Should *a student be denied* ~~the university deny~~ a requested accommodation, ~~it~~*the university* must be prepared to show that complying with the request would constitute a fundamental alteration; the unsubstantiated opinion of a faculty member or administrator may not be sufficient for that purpose. Moreover, the cost of the proposed modification is not usually sufficient reason for denying a requested accommodation.

~~The following accommodations are widely accepted in higher education:~~

- ~~Providing services such as readers, interpreters, and note-takers.~~
- ~~Allowing extra time for examinations, assignments and projects.~~
- ~~Permitting exams to be individually proctored, read orally, dictated, or typed.~~
- ~~Recording lectures.~~
- ~~Using computer software for assistance in studying and on tests.~~
- ~~Using alternative testing formats to demonstrate course mastery.~~
- ~~Changing classrooms as needed for accessibility.~~

Who must be accommodated?

Students who are requesting support services from SFA are required to submit documentation through ~~the Office *office* of~~ Disability Services to verify eligibility for reasonable accommodations. Students are not required to assume the responsibility for securing a necessary accommodation. The university will review and evaluate that documentation and, when required under law, provide reasonable accommodations for a student's known disability so that the student has an equal opportunity to participate in the courses, activities or programs.

When additional expertise beyond that of the staff of ~~the Office *office* of~~ Disability Services is needed to assess a student's documentation, the Academic Assessment Committee, consisting of members of ~~the~~ faculty *and staff* who are knowledgeable about disabilities~~, and staff members~~, ~~including the ADA coordinator,~~ will evaluate the documentation, request additional information if required, and make a recommendation to ~~the Office *office* of~~ Disability Services.

Documentation must validate the need for services based on the individual's current level of functioning in an educational setting. If the documentation is found to be insufficient, the university is not obliged to provide accommodations. If the documentation is found to be sufficient, appropriate accommodations are recommended.

What accommodations must be provided?

Students with disabilities may be accorded two types of accommodations: they may be permitted to substitute particular courses for some of those required under their degree requirements, or they may be afforded approved accommodations within the courses they take.

If a course substitution is requested, the request must be received by the academic department that teaches the course to be deleted from the student's requirements no later than the semester prior to one in which the student proposes to take one or more of the substitute courses. Ordinarily the request should arrive at ~~the department office~~*the academic department* before the ~~12th day of classes of a long semester, or the 4th day of classes of a summer session.~~*official reporting day of the appropriate part of term.*

Once received by the *academic* department, the course substitution request is considered by the academic unit head, who consults with ~~the Office *office* of~~ Disability Services before making a recommendation. The academic unit head's recommendation regarding substitution is forwarded to the student's academic dean. Employing the college's usual procedures for decisions about curricula, and consulting with other colleges as necessary, the dean makes the final determination about whether the requested substitution may be allowed, or does, in fact, represent a fundamental modification of the program in question. Before a course substitution is considered there should be evidence that even with reasonable accommodation the student cannot succeed in the required course.

Requests for accommodation within a particular course should, when possible, be received by ~~the Office *office* of~~ Disability Services before the beginning of the semester in which the student with a disability is to enroll in the course. Once received, the accommodation request is considered by *D*~~d~~isability *S*~~s~~ervices and, if required, by the Academic Assessment Committee. If the decision is to recommend against providing the requested accommodation, the student is informed. If it is decided that accommodation is to be provided, a record of that recommendation, together with a recommendation of the general type of accommodation to be provided is sent to the instructor of the subject course~~, with a notification to the academic unit head~~. The instructor then meets with the ~~disabled~~ student to work out precisely how the recommended accommodations are to be implemented in the context of the particular course and may consult with the academic unit head if needed. To make provision of appropriate accommodations as effective as possible, students with disabilities are to meet with instructors from whom accommodations are requested as early in the semester as possible.

The student, ~~the Office *office* of~~ Disability Services, the Academic Assessment Committee, the academic unit head, and the course instructor will cooperate to identify accommodations that meet the student's documented need without fundamentally altering the course.

Who must provide approved accommodations in a particular course?

Accommodations most commonly requested may include providing services such as readers, interpreters, and note-takers; allowing extra time for examinations, *assignments and projects*; using alternate ~~forms~~ *formats* ~~of~~ *and individualized proctoring methods for* examinations; recording lectures; using computer software for assistance in studying and on tests; and~~, on rare occasions,~~ relocating ~~the~~ classrooms *as needed for accessibility*. It is the responsibility of ~~the Office *office* of~~ Disability Services to provide readers, interpreters, and note-takers when needed. The instructor will cooperate with *D*~~d~~isability *S*~~s~~ervices in accommodating these service providers in the classroom.

The instructor's ~~It is the~~ responsibility *is* ~~of the instructor~~ to organize examinations so students with disabilities may be accorded extra time and special testing conditions when needed as an accommodation. When possible, special testing will be done within the offices of the academic department. When testing cannot be done in the department, *D*~~d~~isability *S*~~s~~ervices will provide secure facilities and supervision. In the event that exams are administered solely online, students with disabilities will be granted the exam accommodations under the same online conditions allowed for

other students enrolled in the course.

When special materials (e.g., Braille transcripts or audio recordings of course materials) are required, ~~it is~~ the joint responsibility of ~~the Office *office* of~~ Disability Services and the instructor *is* to arrange to make these materials available to the student. Such materials must be made available to students with disabilities at the same time that their equivalents are given to other students.

The ~~It is the responsibility of the~~ academic unit head*'s responsibility*, in cooperation with the instructor and the dean, *is* to relocate courses when required.

Resolving Disagreements

Disagreements will be resolved according to the provisions of Policy 6.6, Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities.

Cross Reference: Section 504 of the Rehabilitation Act of 1973, Pub. L. No. 93-112, 29 U.S.C. § 794; Americans with Disabilities Act of 1990, Pub. L. No. 101-336, 42 U.S.C. §§ 12101-12213 as amended by the Americans with Disabilities Act Amendments Act of 2008, Pub. L. No. 110- 325; 34 C.F.R. 104; Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities (6.6); Accessibility for Persons with Disabilities (2.2); Animals on University Property (13.2)

Responsible for Implementation: Provost and *Executive* Vice President for Academic Affairs, ~~Vice President for University Affairs~~*Chief Diversity Officer*

Contact for Revision: Director of Disability Services

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Administrative Systems Software Changes

Policy Number: 16.2

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

Date of last revision, if applicable: 4/30/2019

Unit(s) Responsible for Policy Implementation: Information Technology Services

Purpose of Policy (what does it do): Define administrative systems software changes as the responsibility of Information Technology 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:

Specific rationale for deletion of policy: Recommend deletion as this policy is no longer needed

Additional Comments:

Reviewers:

Anthony Espinoza, Chief Information Officer
Scott Gordon, President
Damon Derrick, General Counsel

~~Administrative Systems Software Changes~~

~~**Original Implementation:** January 19, 1999~~
~~**Last Revision:** April *11*30, 202219~~

~~Administrative systems software changes are the responsibility of Information Technology Services (ITS) in conjunction with Enterprise Resource Planning (ERP) systems module owners. ERP systems include, but are not limited to, Banner, Raiser's Edge, and Brightspace Learning Environment.~~

~~Software changes to the university's ERP systems allow each system to:~~

~~A. meet the changing needs of the user community and system owners.~~
~~B. provide patches when problems are encountered.~~
~~C. provide upgrades to the systems as new features are added.~~

~~Changes to software modules in the ERP system are requested by the module owners or designee(s). All requested changes are evaluated and either approved or rejected by the chief information officer and the module owner or designee.~~

~~**Cross Reference:** ITS Policy Handbook~~

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

~~**Contact for Revision:** Chief Information 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: Compensation from Grants, Contracts and Other Sponsored Agreements

Policy Number: 12.1

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): Established guidelines for pay to faculty and exempt staff from Grants in relation to federal and state laws.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No 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

Compensation from Grants, Contracts and Other Sponsored Agreements

Original Implementation: April 17, 2012
Last Revision: ~~July 23, 2019~~*April 11, 2022*

This policy establishes guidelines for compensation paid to faculty and professional (exempt) staff from grants, contracts, and other sponsored agreements (grants) that are consistent with federal and state laws, rules and regulations and university policies and procedures.

If permitted by a specific grant and university policy, an employee may receive compensation for personal services directly related to the grant in the form of direct salary or additional compensation. The form and amount of compensation depends upon:

- the workload status of the employee (part-time or full-time);
- the type of work being performed;
- the employee status (exempt/non-exempt, faculty/staff); and
- the timing of work performed (for example, weekends, after normal work hours, and summer months).

Direct Salary

Compensation from grants is normally paid as a portion of the institutional base salary (IBS) for actual work performed on the grant from which the salary is paid. Compensated services must be performed during the project period and are captured in effort certification reporting as part of the individual's IBS. Compensation from grants can never exceed the individual's normal IBS rate of pay (2 CFR 200.430).

1. Exempt and non-exempt staff – A portion of an individual's IBS may be paid from one or more grants proportional to the effort expended on each grant agreement during the term the work is performed. Individuals paid 100% from grant funds cannot perform any institutional functions outside of their grant-related job duties. See Effort Reporting and Certification of Sponsored Activities policy (8.1).

2. Full-time Faculty - A full-time faculty member's salary may be paid from one or more grants proportional to the effort expended on each grant agreement during the academic term such work is performed. This reassigned time releases the faculty member from teaching and/or research/scholarly/creative and service activities proportional to the level of effort on the grant.

   For a full-time nine-month assignment, the equivalent of 20% effort over the term is

normally devoted to research/scholarly/creative and service activities. Therefore, for purposes of compensation from grants, paid or cost-shared, a normal three-credit hour course is equivalent to 20% effort (or 0.20 FTE) and non-instructional activities are equivalent to 5% effort (or 0.05 FTE).

3. Faculty Summer Assignments - If a faculty member's teaching workload is less than 100% during a summer part of term, the faculty member may also be paid from one or more grants proportional to the effort expended, subject to the summer salary calculations outlined in Salary Supplements, Stipends and Additional Compensation policy (12.16). Faculty can earn no more than their prorated 9-month salary during the summer terms based on the combined grant salary and teaching workload assignment.

   For purposes of compensation from grants (paid or cost-shared), a normal three-credit hour course in a summer part of term is equivalent to 50% effort (or 0.50 FTE) for the summer part of term.

   Grant funds cannot be used during the summer months to pay for work performed during the academic year, and cannot be used to supplement institutional compensation that may be paid at a lower rate than the individual's IBS.

Additional Compensation

Additional compensation, or extra service pay, refers to salary paid in excess of the IBS for work that is clearly in addition to regularly assigned or contracted duties.

- To ensure equitable and consistent application of SFA's faculty workload policy, these guidelines apply to all sponsored project agreements regardless of the source of funding (federal, state, local government, and/or private entities).
- General requirements for payment of additional compensation are detailed in Salary Supplements, Stipends and Additional Compensation policy (12.16).
- Principal Investigators/Project Directors (PI/PD) are not eligible to receive additional compensation from their own projects.
- Non-exempt staff members are not eligible for additional compensation from grants and must be paid overtime at the appropriate rate of pay.
- Additional compensation is accounted for separately and is not captured in effort certification and reporting procedures. See the Effort Reporting and Certification for Sponsored Activities policy (8.1).
- The rate of pay shall not exceed the hourly equivalent of the individual's regular IBS. This rate is calculated using a monthly basis of 173.33 hours.

Exempt, full-time staff members may be eligible to receive additional compensation for incidental activities (task assignments) if the grant-related activities are (1) clearly

unrelated to their current duties as demonstrated by the employee's job description or other documentation; and (2) are performed outside of the employee's regular work hours.

Incidental activities (task assignments) should be based on completion of an assignment or task and are restricted to one-time services or jobs with a time commitment of one month or less.

Full-time faculty members may be eligible to receive additional compensation if the grant-related activities are for (1) intra-university consulting or for (2) incidental activities if it can be clearly demonstrated that the work is in addition to the duties detailed in the appointment contract and Faculty Workload policy 7.13 that serve as a basis for IBS.

1. Intra-university Consulting - Normally, intra-university consulting is considered to be a professional courtesy or normal university faculty obligation for which extra compensation is not paid. However, under unusual circumstances, additional compensation may be paid if all of the following conditions are met: (a) for faculty working across departmental lines or at a separate or remote location, such as outside of the Nacogdoches area; and (b) the services to be provided are essential and cannot be provided by persons receiving salary support from the sponsored agreement, or otherwise compensated for their services by the university.

2. Incidental Activities (task assignments) - If it can be demonstrated that it is crucial to the success of the project, faculty members may be paid from grants for incidental activities. Incidental activities should be based on completion of an assignment or task and are restricted to one-time services or jobs with a time commitment of one month or less.

Specific Requirements

For sponsors that allow additional compensation to be paid in the form of intra-university consulting or incidental activities, the sponsor must be informed of the intent to charge salary as additional compensation, preferably in the original budget proposal. The budget and/or project narrative of the grant or contract should clearly state:

- that additional compensation above IBS will be paid to university employees;
- the name or position of the individuals who will be receiving additional compensation; and
- the work and services to be performed by these individuals.

In addition, the amount of the additional compensation should be segregated from regular salary expenses and the budget justification should clearly indicate:

- the total dollar amount of additional compensation requested;
- the percent of additional effort committed to the project, or the hourly rate and number of hours committed to the project; and
- the appropriate fringe benefits.

The award document from the sponsoring agency must state that additional compensation is allowed, or the document must imply that the sponsor accepts the proposal with no alterations regarding the request for additional compensation.

Since fixed amount awards are performance based and generally do not require a sponsor-approved budget detail, additional compensation from these projects requires adequate justification from the employee's supervisor. Such requests should be included in the internal budget submitted as part of the proposal clearance process.

Responsibility for Compliance

1. Individuals requesting additional compensation are required to certify that they meet the eligibility requirements by signing the ORGS Additional Compensation Verification form. They also must provide assurance to their immediate supervisor that the work to be performed will not interfere with performance of regular responsibilities.

2. Principal Investigators (PI)/Project Directors (PD) are responsible for assessing and determining if additional compensation is appropriate, is allowed by the sponsor, and follows university policies and procedures. The PI/PD is responsible for initiating internal forms for employee eligibility certification, institutional approval, and payment. PIs/PDs are not eligible to receive additional compensation from their own projects.

3. Department Chairs/Division Directors/Deans are responsible for carefully analyzing the total university commitments of the employee who requests additional compensation from grants to confirm that the work is outside of the employee's contractual obligations to the university. The dean routes the Authorization for Additional Compensation Services form and the ORGS Additional Compensation Verification form to ORGS to verify eligibility and sponsor approval.

4. Office of Research and Graduate Studies is responsible for verifying additional compensation approval with the sponsor, either in the form of an approved grant application as submitted, or in the language of the grant, by approved amendment, or from subsequent written correspondence from the sponsor's contracting official.

5. Human Resources is responsible for confirming that the individual has not exceeded the maximum additional compensation limits as outlined in the Salary Supplements,

Stipend, and Additional Compensation policy (12.16) and that the IBS rate of pay has not been exceeded.

Remedies for Non-Compliance

In the event that repayment of additional compensation paid from grant funds is required by a sponsoring agency, auditor, or other authorized entity, the academic unit with managerial oversight of the sponsored agreement in question is responsible for repayment using departmental or college resources. This includes instances where administrative and/or sponsor approvals were not obtained in advance.

Cross Reference: 2 C.F.R. § 200.430; Uniform Grant Management Standards for Texas, UGMS; Distance Education Faculty Competencies and Compensation (7.9); Effort Reporting and Certification for Sponsored Activities (8.1); Faculty Workload (7.13); Outside Employment (11.19); Off-campus Credit Courses (5.13); Grants and Contracts Administration (8.3); Faculty Compensation (12.6); Summer Teaching Appointments (7.28); ~~Salary Supplements, Stipends and~~ Additional Compensation (12.16) .

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

Contact for Revision: Dean, Office of Research and Graduate Studies

Forms: Authorization for Additional Compensation Services and Authorization for Additional Compensation Payment (Human Resources website); Additional Compensation Verification (ORGS website).

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Discontinuance of Program or Academic Unit

Policy Number: 5.9

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

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

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

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

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Texted updated 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
Scott Gordon, President
Damon Derrick, General Counsel

Discontinuance of Program or Academic Unit

Original Implementation: October 18, 2011
Last Revision: ~~January 29, 2019~~ *April 11, 2022*

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

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

~~The recommendation to discontinue a program or academic unit will be based on educational consideration as determined by the university administration after consultation with the affected faculty and appropriate standing or ad hoc committees and will be subject to approval by the Board of Regents.~~
The recommendation to discontinue a program or academic unit will be based on educational considerations; this may include histories of low-producing programs, low-enrollments, or obsolescence, among other considerations. Recommendations will be made by appropriate university administrators, including the provost and executive vice president for academic affairs, the dean, and the unit head, in consultation with the affected faculty. Discontinuance is subject to approval by the Board of Regents.

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

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

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

Cross Reference: Tenure (7.29)*; Financial Exigency (3.15); Establishing Centers, Institutes, and Specialized Testing or Services Laboratories (5.10); Tex. Educ. Code § 61.0512*

Responsible for Implementation: President

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: Effort Reporting and Certification for Sponsored Activities

Policy Number: 8.1

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

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

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

Purpose of Policy (what does it do): This grant related policy helps facilitate grant costs and expenditures are meeting laws and regulations.

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 updates.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Effort Reporting and Certification for Sponsored Activities

Original Implementation: January 29, 2008
Last Revision: ~~January 29, 2019~~*April 11, 2022*

This policy establishes requirements to facilitate compliance with laws and regulations concerning employee effort for salary expenditures and cost-sharing requirements related to grants, contracts and other sponsored agreements (grants).

Recipients of federal funds must maintain a system of internal controls that provide reasonable assurance that payroll charges are accurate, allowable, necessary, and properly allocated among grant and institutional activities. Recipients of grants must exercise due diligence in the review and certification of effort reports.

Effort expended for extra compensation as defined in the ~~Salary Supplements, Stipends and~~ Additional Compensation policy (12.16), or for work not compensated by the university, is not included in effort calculations. Refer to Compensation from Grants, Contracts and Other Sponsored Agreements (12.1).

1. Effort is defined as the percentage of time spent on a particular activity and is not based on a traditional 40-hour work week. The total effort associated with institutional base salary (IBS) is defined as 100% effort. This includes instruction, departmental administration, departmental research, grants, and other institutional activities.

   The federal government recognizes that decisions made in the certification of effort percentages to individual sponsored activities are based on reasonable estimates. It is recognized that, in an academic setting, teaching, research, service, and administration are often inextricably intermingled. Therefore, a precise assessment of factors that contribute to costs is not always feasible, nor is it expected. Reliance, therefore, is placed on estimates in which a degree of tolerance is appropriate.

   Tolerance is defined by the university as +/- five percent (5%) of the committed effort. Therefore, if the percentage on the effort report reflects one's effort within this variance, the effort percentage may be confirmed as a reasonable estimate. Effort certification report adjustments may be required when: a) effort does not match salary expenditures within the tolerance limit for the time period covered by the report; b) there are payroll cost transfers; or c) revised personnel actions are generated.

2. Effort certification reports are required for all employees who devote effort (paid or cost-shared) to one or more grants. These records are generated by and retained in the Banner effort system for salaried individuals. For hourly paid individuals, certified time records are generated and retained in the TimeClock Plus system or recorded manually on time sheets retained by the

department, and serve as alternate official effort certification records.

3. After-the-fact effort reporting is required for all sponsored projects grants regardless of the source of funds (Federal, state, or private). After-the-fact reporting is defined as certification reports originated after the work has been performed.

4. Project directors (PDs) or principal investigators (PIs) are responsible for ensuring that effort certification reports are completed accurately and in a timely manner for each individual subject to this policy from a grant for which they serve as PD/PI.

   Effort reports must be certified by a person having either firsthand knowledge of the work performed or a suitable means of verification that the work performed was related to the specific sponsored activities. Normally, this certification is performed by the employee, PD or PI. If one of these persons is unable to certify the effort report, a surrogate with firsthand knowledge or who has a suitable means of verification as described above may certify the report (e.g., the unit head, a co-investigator). The PD/PI will certify effort for graduate students.

5. Effort attributed to any grant must represent work specific to the agreement. Intentional falsification, forgery, or fraudulent alteration of effort certification reports constitutes fraud. Non-compliance with this policy and related procedures may result in penalties levied against the departments, divisions, schools and/or the university. Individuals with roles and responsibilities in the certification process are held responsible for any instances of non-compliance. Criminal and/or employee discipline measures may be pursued.

   If effort reports are not certified in a timely manner, the Office of Research and Graduate Studies will take actions to assist with compliance with this federal requirement. These actions may include, but are not limited to: a) withholding submission of proposals, project applications or other documents such as material transfer agreements; b) freezing active grant funds; or c) adjusting uncertified labor distributions and the effort they represent to non- sponsored Banner funds managed by the administrative unit.

6. Each individual with responsibilities related to effort certification must thoroughly understand the proper method of reviewing and certifying the effort reports to ensure the reports reflect effort expended toward grants and other activities during the report period. Thus, effort training is mandatory for all employees who certify payroll expenses.

   Procedures for effort reporting and certification are outlined in the Grants and Contracts Procedures Manual published by the Office of Research and Graduate Studies.

Cross Reference: 2 C.F.R. § 200.430; ~~A~~ Texas Uniform Grant Management Standards, II.B(11)(h)(1-5,7); ORGS Grants and Contracts Procedures Manual; ~~Salary Supplements, Stipends and~~ Additional Compensation (12.16); Compensation from Grants, Contracts and Other Sponsored Agreements (12.1)

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

Contact for Revision: Dean, Office of Research and Graduate Studies

Forms: Banner Effort Certification Reports; TimeClock Plus records; time sheets

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Email for University Communication

Policy Number: 15.1

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: ITS

Purpose of Policy (what does it do): Define email as the official means of communication among university faculty, students, and staff members.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

No changes.

Reviewers:

Anthony Espinoza, Chief Information Officer
Scott Gordon, President
Damon Derrick, General Counsel

Email for University Communication

Original Implementation: January 28, 2003
Last Revision: April ~~30~~*11*, 202*2*~~19~~

Email is an official means of communication among university faculty, students, and staff members. Although email accounts are assigned to all prospective students at the time they apply for admission, they are not bound by this policy until they have been admitted to the university.

The following conditions apply to university email accounts:

1. Each person applying for admission to Stephen F. Austin State University (SFA) as a student will be assigned an SFA email account. Each faculty or staff member hired by the university will be assigned an SFA email account at the time the employment information is entered into the Human Resources system.
2. The assigned email account will be considered an official method of communication from university faculty and administrators to faculty, enrolled students, and staff members, either collectively or individually. All personnel and students are responsible for university email message content, even if they do not use the university system as their primary account.
3. Applicants' email accounts will be removed if they do not enroll at SFA. Enrolled students retain their email accounts as long as they are an active student.~~.~~
4. Faculty and staff email accounts will be deleted upon separation or termination of employment. Some exceptions may be granted by the chief information officer for cause.

Cross Reference: Acceptable Use of Information Resources (14.2)

Responsible for Implementation: President

Contact for Revision: Chief Information 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: File Maintenance for Faculty Personnel Files

Policy Number: 4.6

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

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

Unit(s) Responsible for Policy Implementation: VPAA

Purpose of Policy (what does it do): This policy is a requirement from SACS to keep up with all faculty members 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:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor updates.

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

File Maintenance for Faculty Personnel Files

Original Implementation: October 31, 2000
Last Revision: ~~January 29, 2019~~*April 11, 2022*

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

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

Full-time ~~academic rank~~ faculty *holding academic rank:*

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

Filed in the Office of the College Dean:

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

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

Graduate teaching assistants (when instructor of record)*:*

- Curriculum vitae
- Official transcripts from all degree granting institutions attended or verification that official transcripts are in the Office of Research and Graduate Studies.
- Three letters of reference
- Faculty Certification of Credentials form

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

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

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

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

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

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Financial Conflicts of Interest in Sponsored Activities

Policy Number: 8.2

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): Grants related policy in regards to conflict of interest for SFA 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: Minor updates.

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

Financial Conflicts of Interest in Sponsored Activities

Original Implementation: January 30, 1996
Last Revision: April ~~30, 2019~~*11, 2022*

1. Introduction

The purpose of this policy is to protect the credibility and integrity of Stephen F. Austin State University's (SFA) faculty and staff by ensuring public trust and confidence in the university's research and grants, contracts, and other sponsored agreements (grants) by identifying and then managing, reducing, or eliminating actual or potential conflicts of interest.

A potential conflict of interest occurs when divergence exists between the private interests of individuals and their professional obligations to the university, to the extent that an independent observer might reasonably question whether an individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise. An actual conflict of interest depends on the situation and not on the character or actions of the individual. In some cases, it also might be appropriate to voluntarily report apparent nonfinancial conflicts of interest and the steps taken by SFA to mitigate them, such as relationships between grant and university personnel.

The university will take all necessary steps to assure that any identified actual or potential financial conflicts of interest are managed, reduced, or eliminated prior to the university's expenditure of any funds under an award and, if required by a sponsor, certify to the funding agency that this has been done or report conflicts that cannot be satisfactorily managed, reduced, or eliminated.

As defined in section II, all investigators are required to disclose any significant financial interest that could directly or indirectly affect the design, conduct, and/or reporting of research and/or affect professional judgment in the conduct of grants.

Federal awarding agencies must establish conflict of interest policies for their awards that require the awardee to disclose in writing any potential conflict of interest (2 C.F.R. § 200.112). This policy has been developed to address financial conflicts of interest in grants in general, with specific requirements to address regulations for Public Health Service supported research. Investigators will be required to comply with each individual federal awarding agency’s policies. State laws regarding employee conduct may also apply to situations involving potential financial conflicts of interest.

Additional requirements are outlined in section VI that pertain specifically to Public Health Service (PHS) sponsored research grants and to research sponsored by other federal agencies with similar financial conflict of interest regulations.

2. Definitions

Compliance Coordinator (CC): an individual in the Office of Research and Graduate Studies (ORGS)

designated to coordinate financial conflict of interest requirements for grants at the proposal and award stages.

Disclosure of significant financial interests: an investigator's disclosure of significant financial interests to the university.

Equity interest: includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value.

Financial conflict of interest (FCOI): a significant financial interest that could directly and significantly affect the design, conduct, or reporting of grant activities.

Financial interest: anything of monetary value, whether or not the value is readily ascertainable.

Institutional responsibilities: an investigator's professional responsibilities on behalf of the university, which for faculty includes teaching, research, service and other scholarly and professional activities and for staff includes job-related activities.

Institutional Official (IO): the provost and vice president for academic affairs.

Investigator: a project director (PD) or principal investigator (PI) and any other person, regardless of title or position, who is identified as: (a) senior/key personnel in the grant application, progress report, or any other report submitted to a funding agency; (b) a responsible party on applications for the use of human or animal subjects; and (c) responsible for the design, conduct, or reporting of grant activities.

Manage/Management Plan: taking action to address a FCOI, which can include reducing or eliminating the conflict of interest to ensure, to the extent possible, that the design, conduct, and reporting of research will be free from bias.

Public Health Service (PHS): an entity of the U.S. Department of Health and Human Services, and any components of the PHS to which the authority involved may be delegated, which includes agencies such as the National Institutes of Health (NIH), the Centers for Disease Control and Prevention (CDC), the Food and Drug Administration (FDA), and the Health Resources and Services Administration (HRSA).

Research: a systematic investigation, study or experiment designed to develop or contribute to generalizable knowledge relating broadly to public health, including behavioral and social-sciences research. The term encompasses basic and applied research and product development.

Responsible Official (RO): the dean of research and graduate studies.

Significant financial interest: a financial interest that must be disclosed by an investigator that: (a) consists of one or more of the following interests of the investigator, and/or the investigator's spouse and dependent children, or any other financially interdependent individual in the household; (b) which reasonably appears to be related to the investigator's institutional responsibilities; and (c) was received, obtained, or held during the twelve (12) months preceding the disclosure.

Information that must be disclosed by an investigator includes:

A. Payments from or an equity interest in a publicly-traded entity if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure together exceed $5,000. Remuneration includes any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship);
B. Payments from or an equity interest in a non-publicly traded entity if the value of any remuneration received from the entity in the twelve months preceding the disclosure exceeds $5,000 and any equity interest is held;
C. Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests; and
D. Travel payments (reimbursements or amounts paid on behalf of the investigator) related to institutional responsibilities (this requirement only applies to investigators with PHS supported research or other Federal sponsors with similar FCOI requirements).

Information that is excluded from disclosure by an investigator includes:

A. Salary, royalties, or other remuneration paid by the university to the investigator if the investigator is currently employed or otherwise appointed by SFA, including intellectual property rights assigned to SFA and agreements to share in royalties related to such rights;
B. Income from certain investment vehicles, such as mutual funds and retirement accounts, as long as the investigator does not directly control the investment decisions made in these vehicles; and
C. Income from seminars, lectures, or teaching engagements, or income from service on advisory committees or review panels sponsored by a Federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

Regardless of the above minimum requirements, investigators in their own best interest may choose to

disclose any other financial or related interest that could present an actual conflict of interest or be perceived to present a conflict of interest.

Grants: all externally funded activities, including but not limited to research, public service, instruction, and/or training activities funded by grants, contracts, cooperative agreements, or other sponsored agreements.

3. Responsibilities Regarding FCOI

A. **Investigator** – It is the responsibility of the investigator to:

i. file and update a PI/PD Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects form with each grant application and a Disclosure of Substantial Interest form as needed;

ii. file and update a Disclosure of Substantial Interest form in other instances as outlined in this policy;

iii. acknowledge in the disclosure form their understanding of this policy and applicable federal regulations;

iv. provide additional information and documentation required to meet the terms of this policy when requested by university officials; and

v. complete FCOI training as required by this policy.

B. **Institutional Official (IO)** – It is the responsibility of the IO to:

i. review Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects and Disclosure of Substantial Interest forms related to grants;

ii. determine if a FCOI exists with regard to grant funding, appoint a committee as required to assist in the decision, and make recommendations regarding management of any such conflict of interest;

iii. if indicated, develop a plan for management of the conflict in consultation with the investigator and in conjunction with the appointed committee, the university's general counsel and other university officials, as appropriate; and

iv. determine the appropriate individual to monitor implementation of the plan, as needed.

C. **Compliance Coordinator (CC)** – It is the responsibility of the CC to:

i. verify that Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects and as needed, Disclosure of Substantial Interest forms are on file for investigators prior to submitting applications to any entity;

ii. verify that Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects and as needed, Disclosure of Substantial Interest forms are on file for investigators after an award is made and prior to the expenditure of funds;

iii. provide disclosure and reporting requirements to any subrecipients related to an award from a Federal sponsor; and

iv. communicate with the investigator regarding the status of the project with regard to compliance with this policy, including applicable training requirements.

D. **Responsible Official (RO) –** It is the responsibility of the RO to:
   i. provide general oversight ~~to~~*of* the FCOI reporting and management process as it relates to research and other sponsored activities;
   ii. participate in the review of Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects and Disclosure of Substantial Interest forms and in the development of management plans, as requested by the IO; and
   iii. submit conflict of interest reports to the sponsoring agency as required by the PHS or any other Federal agency.

4. FCOI Reporting and Review Procedures

A. **Timeline for Disclosures**
   i. all investigators are required to disclose significant financial interests on the Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects form and as needed, a Disclosure of Substantial Interests form prior to the submission of every grant application;
   ii. during the year as needed and no later than thirty (30) calendar days after a new, reportable significant financial interests is obtained such as an increase in value that meets the reporting threshold, as well as the acquisition of new interests that are reportable (for example, through purchase, marriage, or inheritance); and
   iii. for new investigators, within thirty (30) calendar days of joining an active grant.

B. **Disclosure Period -** Each individual completing the Disclosure of Substantial Interest form must list any financial interests for the preceding twelve (12) months that appear to be related to the investigator's institutional responsibilities and that might reasonably appear to affect the grant activities funded, or proposed for funding.

C. **Disclosure Review Process** - The IO will conduct an initial review of all financial disclosures related grants in consultation with the RO or other official designee of the university, as appropriate. If an initial determination is made that there may be a potential for conflict of interest covered by this policy, additional information will be requested from the investigator.

   A potential FCOI also may be referred to an investigating committee for review. If it is determined by the IO that a committee should be formed, members will be appointed by the IO after consultation with the RO, who serves as chair. If it is determined that a conflict of interest exists, the IO and/or the investigating committee will determine what conditions or restrictions, if any, should be imposed by the university to manage actual or potential conflicts of interest arising from such disclosures.

D. **Records Retention -** Records of investigator financial disclosures, the university's review and response to disclosures, and of actions taken to manage actual or potential conflicts of interest, as applicable to grants will be retained by ORGS according to each sponsor's retention requirements~~-~~, or the resolution of any government action involving those records,

or where applicable, from other dates specified in 45 CFR 74.53(b) and 92.42 for PHS supported research or other agency regulations.

E. **Enforcement** - The IO will be responsible for determining and implementing sanctions on investigators who have violated this policy in terms of a conflict of interest resolution. The investigator will be notified in writing of the recommended sanctions within twenty-one (21) calendar days of the discovery of the violation. If the sanctions involve a recommendation for termination of employment, the university's termination procedures will be invoked. The university must take action as warranted by the seriousness of the violation including, but not limited to, one or more of the following:
   - removal from the activity;
   - special monitoring of future work;
   - letter of reprimand;
   - probation with conditions specified; and/or
   - termination.

   Additionally, the university will follow PHS and other applicable Federal regulations regarding the notification of a sponsoring agency in the event an investigator has failed to comply with this policy.

   Individuals may appeal the judgment and/or the sanction. A written statement of the grounds for the appeal must be submitted to the president of the university within thirty (30) working days of written notification of the sanctions. Grounds for appeal include, but are not limited to, previously unconsidered material evidence, sanctions not commensurate with the finding, and failure to follow the prescribed process. Upon receipt of a written appeal, the president will evaluate the evidence and make a determination. The president will open an investigation if circumstances so dictate. The president's decision will be conveyed to all parties within thirty (30) working days.

5. FCOI Information Dissemination and Training

A. **Information Dissemination** - The Office of Research and Graduate Studies will inform each investigator applying for grants of the university's policy on financial conflicts of interest, the investigator's responsibilities regarding disclosure of significant financial interests, and any applicable Federal regulations regarding FCOI. Such information will also be posted on the ORGS website.

B. **Mandatory Training** - Each investigator who is awarded a PHS research award or an award from a Federal agency with similar FCOI training requirements will complete a training session on FCOI prior to engaging in the grant activity and subsequently every four (4) years. In addition, training is required for these individuals immediately when: (1) the university revises its financial conflict of interest policies or procedures in any manner that affects the requirements of investigators; (2) an investigator on a PHS supported award is new to the

university; or (3) if the university finds that an investigator is not in compliance with this policy or a prescribed FCOI management plan.

C. **Subrecipients** - If the university carries out research through a subrecipient (e.g., subcontractors or consortium members) that is supported by the PHS or by a Federal agency with similar FCOI reporting and/or training requirements, the university (awardee institution) will take reasonable steps to ensure that any subrecipient investigator complies with the training requirement described in B. above by incorporating as part of a written agreement with the subrecipient terms that establish whether the financial conflicts of interest policy of the university or that of the subrecipient will apply to the subrecipient's investigators. The agreement referenced will specify time period(s) for the subrecipient to report all identified financial conflicts of interest to the university. Such time period(s) will be sufficient to enable the university to provide timely FCOI reports, as necessary, to the PHS or other Federal agencies as required by the agency.

6. Special Provisions for Managing and Reporting Financial Conflicts of Interest for Public Health Service (PHS) Supported Research

A. **Management Plan -** For PHS supported research, resolution of any potential or actual conflicts of interest will not be required until after funding has been approved and prior to any expenditure of funds under the PHS supported award. Prior to the expenditure of any funds under a PHS-funded research project, the IO will develop and implement a management plan that will specify the actions that have been and will be taken to manage such financial conflict of interest.

The IO, along with any investigating committee, the investigator, the RO, and other university officials as required, will proceed to resolve any actual or potential problems revealed by the initial review of financial disclosures. In order for the conflict to be managed, reduced, or eliminated, the IO may recommend:

1. public disclosure of significant financial or related interests (e.g., during presentations or in publications);
2. for research projects involving human subjects research, disclosure of financial conflicts of interest directly to participants prior to participation;
3. monitoring of sponsored activities by independent reviewers;
4. modification of the research or other sponsored activity plan;
5. Change in personnel and/or disqualification from participation in all or a portion of the activity funded that would be affected by the significant financial interests;
6. divestiture of significant financial interests; and/or
7. severance of relationships that create actual or potential conflicts of interest.

If the IO, along with any investigating committee determines that imposing conditions or restrictions would either be ineffective or inequitable, and that the potential negative impacts

that may arise from a significant financial interest are outweighed by interests of scientific progress, technology transfer, or the public health and welfare, the IO and committee may recommend that, to the extent permitted by federal regulations, the sponsored activity go forward without imposing such conditions or restrictions. In these cases, the IO in consultation with the RO will make the final decision regarding resolution.

The approved written resolution plan will detail the conditions or restrictions imposed upon the investigator in the conduct of the sponsored activity or in the relationship with the enterprise or entity.

Actual or potential conflicts of interest will be satisfactorily managed, reduced, or eliminated in accordance with these guidelines and all required reports regarding conflicts of interest submitted to the sponsor prior to the expenditure of any funds under an award.

B. Retrospective Review - For PHS supported research, whenever a significant financial interest is discovered that was not disclosed in a timely manner by an investigator, or for whatever reason, was not previously reviewed by the university during an ongoing PHS supported research project (including subrecipients), the IO will within sixty (60) calendar days:
   1. review the significant financial interest;
   2. determine whether it is related to PHS-funded research;
   3. determine whether a financial conflict of interest exists; and, if so implement, on at least an interim basis, a management plan that will specify the actions that have been, and will be, taken to manage such financial conflict of interest going forward.

In addition, if it is determined that the university failed to review or manage such a financial conflict of interest, or the investigator failed to comply with a financial conflict of interest management plan, the IO will, within 120 calendar days of the university's determination of noncompliance, lead a retrospective review of the investigator's activities and the PHS supported research project to determine whether any PHS supported research, or portion thereof, conducted during the time period of the noncompliance, was biased in the design, conduct, or reporting of such research.

The retrospective review will be documented, and will include at a minimum the following key elements:

1. project number;
2. project title;
3. PD/PI or contact PD/PI if a multiple PD/PI model is used;
4. name of the investigator with the FCOI;
5. name of the entity with which the investigator has a financial conflict of interest;
6. reason(s) for the retrospective review;

7. detailed methodology used for the retrospective review (e.g., methodology of the review process, composition of the review panel, documents reviewed);
8. findings of the review; and
9. conclusions of the review.

Based on the results of the retrospective review, if appropriate, the university will update the previously submitted FCOI report, specifying the actions that will be taken to manage the financial conflict of interest going forward. If bias is found, the university will notify the PHS awarding agency promptly and submit a mitigation report the agency. The mitigation report must include, at a minimum, the key elements documented in the retrospective review above and a description of the impact of the bias on the research project and the university's plan of action or actions taken to eliminate or mitigate the effect of the bias. Depending on the nature of the financial conflict of interest, the university may determine that additional interim measures are necessary with regard to the investigator's participation in the PHS supported research project between the date that the financial conflict of interest or the investigator's noncompliance is determined and the completion of the university's retrospective review.

7. Public Disclosure

Prior to the expenditure of any funds under a PHS supported research project, the university will ensure public accessibility via written response to any requestor within five (5) working days of a request for information concerning any significant financial interest disclosed to the university that meets the following three criteria:

A. the significant financial interest was disclosed and is still held by the senior/key personnel as defined by this subpart;
B. the university determines that the significant financial interest is related to the PHS supported research; and
C. the university determines that the financial interest is a significant financial conflict of interest.

The information provided by written response to any requestor will include at a minimum the following information:

A. the investigator's name;
B. the investigator's title and role with respect to the research project;
C. the name of the entity in which the significant financial interest is held;
D. the nature of the significant financial interest;
~~D.~~*E.* the approximate dollar value of the significant financial interest specified in ranges (e.g., $0–$4,999; $5,000–$9,999; $10,000–$19,999; amounts between $20,000–$100,000 by increments of $20,000; amounts above $100,000 by increments of $50,000), or a statement that the interest is one whose value cannot be readily determined through reference to public prices or other reasonable measures of fair market value; and
~~E.~~*F.* will note that the information provided is current as of the date of the correspondence

and is subject to updates, on at least an annual basis and within 60 calendar days of the identification by the university of a new financial conflict of interest, which should be requested subsequently.

Information concerning the significant financial interests of an individual subject to this section will remain available for at least three (3) years from the date that the information was most recently updated.

8. Reporting to PHS Agencies

Prior to the university's expenditure of any funds under a PHS supported research project, the university will provide to the PHS agency an FCOI report regarding any investigator's significant financial interest found by the university to be conflicting and ensure that the university has implemented a management plan in accordance with PHS regulations. In cases in which the university identifies and eliminates a FCOI prior to the expenditure of PHS-awarded funds, an FCOI report is not required.

For any significant financial interest that the university identifies as conflicting subsequent to the initial FCOI report and during an ongoing PHS supported research project, the university will provide within sixty (60) calendar days, a FCOI report to the PHS agency and ensure that a management plan has been implemented in accordance with PHS regulations. This includes results of a retrospective review, and in situations in which bias is determined, the university will promptly notify and submit a mitigation report to the PHS agency.

Any FCOI report will include sufficient information to enable the PHS agency to understand the nature and extent of the financial conflict, and to assess the appropriateness of the university's management plan. Elements of the FCOI report will include, but are not necessarily limited to, the following:

A. project number;
B. PD/PI or Contact PD/PI if a multiple PD/PI model is used;
C. name of the investigator with the significant financial conflict of interest;
D. name of the entity with which the investigator has a financial conflict of interest;
E. nature of the financial interest (e.g., equity, consulting fee, travel reimbursement, honorarium);
F. value of the financial interest (dollar ranges are permissible: $0–$4,999; $5,000–$9,999; $10,000–$19,999; amounts between $20,000–$100,000 by increments of $20,000; amounts above $100,000 by increments of $50,000), or a statement that the interest is one whose value cannot be readily determined through reference to public prices or other reasonable measures of fair market value;
G. a description of how the financial interest relates to the PHS supported research and the basis for the university's determination that the financial interest conflicts with such research; and
H. a description of the keyelements of the university's management plan, including:

i. role and principal duties of the conflicted investigator in the research project;
ii. conditions of the management plan;
iii. how the management plan is designed to safeguard objectivity in the research project;
iv. confirmation of the investigator's agreement to the management plan;
v. how the management plan will be monitored to ensure investigator compliance; and
vi. other information as needed.

For any financial conflict of interest previously reported by the university with regard to an ongoing PHS-funded research project, the university will provide to the PHS agency an annual FCOI report that addresses the status of the financial conflict of interest and any changes to the management plan for the duration of the project. The annual FCOI report will specify whether the financial conflict is still being managed or explain why the financial conflict of interest no longer exists.

9. Remedies

If an investigator fails to comply with this policy, or a financial conflict of interest management plan appears to have biased the design, conduct, or reporting of PHS- funded research, the university will promptly notify the PHS agency of the corrective action taken or to be taken.

Cross Reference: 2 C.F.R. § 200.112; 42 C.F.R. Part 50, Subpart F; 45 C.F.R. Part 94, Faculty Handbook; Ethics (2.6); Misconduct in Scholarly or Creative Activities (7.19); and Purchasing Ethics ~~and Confidentiality~~ (17.2~~2~~*1*).

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

Contact for Revision: Dean of Research and Graduate Studies

Forms: Disclosure of Substantial Interest form; PI/PD Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Guest Speaker

Policy Number: 16.12

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 of Student Affairs

Purpose of Policy (what does it do): States rules for invitation and presentations of guest speakers on University property and/or at University-sponsored events

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 updates made for clarification.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Student Affairs Policy Review Committee
Hollit Smith, Executive Director of Student Life
Brandon Frye, Vice President of Student Affairs
Damon Derrick, General Counsel

Guest Speaker

Original Implementation: July 1980
Last Revision: ~~April 30, 2019~~ *April 11, 2022*

Application of Policy:
These rules shall govern the invitation and presentation of guest speakers on university property or at university-sponsored events.

Definitions:
The term "University Property" includes all land, buildings, facilities, and other property in the possession of and/or owned, used, or controlled by the University (including adjacent streets and sidewalks).

The term "University-sponsored" includes a program or event initiated, aided, authorized, or supervised by a registered student organization, faculty or staff organization.

1. These rules do not apply to:
   a. regularly scheduled classes offered for academic credit;
   b. professional conferences sponsored directly by a university department; or
   c. activities sponsored by non-university entities in rented university facilities.
2. For the purpose of these rules, "guest speaker" means a person invited to speak on university property or at a university-sponsored event who is presently not enrolled as a student or employed by the university. *If the guest speaker is a distinguished g~~q~~uest, the sponsoring organization must adhere to Policy 2.16, Distinguished Guests~~-~~.*
3. Only registered student *organizations*, faculty or staff organizations, or non-university entities renting university facilities may invite and present guest speakers on university property or at university-sponsored events.
4. The organization sponsoring a guest speaker is responsible for making clear ~~the fact~~ that the organization, not the university, is extending the invitation to speak and that any views or opinions the speaker expresses are those of the speaker and not necessarily those of the university.

~~4.~~*5.The organization sponsoring a guest speaker is responsible for the guest speaker's actions.*

~~5.~~*6.*Registered student *organizations*, faculty or staff organizations, and non-university entities may be permitted the use of university facilities to present guest speakers on university property or at university-sponsored events pursuant to the Use of University Facilities policy (16.33). An application for the use of the university facility to be used for the speaker's presentation must be made to the appropriate university official at least forty-eight (48) hours before the time the event is scheduled to take place.

~~6.~~*7.*If a guest speaker is to be paid from university funds as consideration for ~~his/her~~*their* speech:
   a. The facility in which the speech is to be delivered must be open to the public and the news media.

b. The sponsoring organization must follow all applicable university procurement procedures.

~~7.~~*8.*The presentation of guest speakers must not:

a. result in a breach of peace or violation of law;
b. interfere with the free and unimpeded flow of pedestrian and vehicular traffic; or
c. materially disrupt or interfere with the normal activities of the university.

~~8.~~*9.*Guest speakers may not:

a. present material that is obscene or libelous; or
b. advocate the deliberate violation of law.

For the purposes of this section, "advoca*te*~~cy~~" means speech directed to inciting or producing imminent lawless action that is likely to incite or produce such action, as opposed to the abstract espousal of the moral propriety of a course of action.

Cross Reference: Use of University Facilities (16.33)

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

Contact for Revision: ~~Dean of Student Affairs~~*Executive Director of Student Life*

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Grants and Contracts Administration

Policy Number: 8.3

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

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

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

Purpose of Policy (what does it do): Grants related policy to ensure sponsored activities are conducted in accordance with university policies and procedures.

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:

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

Grants and Contracts Administration

Original Implementation: August 1, 2000
Last Revision: ~~January 29, 2019~~*April 11, 2022*

The dean of research and graduate studies establishes and makes available procedures for the programmatic administration of grants, contracts and other sponsored agreements. These procedures are outlined in the Grants and Contracts Procedures Manual published by the Office of Research and Graduate Studies (ORGS). The *division of finance and administration* ~~controller~~ establishes internal controls for the fiscal administration and reporting of grants, contracts and other sponsored agreements and is responsible for the negotiation of facilities and administrative (indirect) cost rate agreements with the federal cognizant agency.

These controls and procedures are designed to ensure that sponsored activities are conducted in accordance with university policies and procedures, with laws and regulations, and with the provisions of the grants, contracts and sponsored agreements themselves.

Cross Reference: 2 C.F.R. Part 200; ORGS Grants and Contracts Procedures Manual

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

Contact for Revision: Dean of Office of Research and Graduate Studies

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Institutional Animal Care and Use Committee (IACUC)

Policy Number: 8.6

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

Date of last revision, if applicable: 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 regards to animal care during research projects

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:

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

Institutional Animal Care and Use Committee (IACUC)

Original Implementation: April 17, 2012
Last Revision: ~~January 29, 2019~~*April 11, 2022*

The Stephen F. Austin State University Institutional Animal Care and Use Committee (IACUC) is responsible for the review of research and teaching activities that involve vertebrate animals.

This review process ensures that all university activities comply with government regulations set forth by the United States Department of Health and Human Services, Office of Laboratory Animal Welfare (OLAW) and by the United States Department of Agriculture-Animal and Plant Health Inspection Service (USDA-APHIS) under the Animal Welfare Act (AWA).

The IACUC will consist of a minimum of five (5) members, including: at least one faculty member representing an academic department utilizing vertebrate animals for research, testing, or training; one member from a department that does not utilize animals in research; one doctor of veterinary medicine; and one member of the community not associated with the university. The committee will meet at least twice per year and on an as-needed basis to review faculty research proposals that involve vertebrate animals and complete any additional tasks required by law.

The IACUC will establish and publish the processes that must be followed when vertebrate animals are to be used in research. The dean of research and graduate studies will serve as the institutional official (IO). The IACUC reports to the IO, who possesses administrative and operational authority to ensure compliance with relevant policies from OLAW and the AWA.

No activities involving vertebrate animals can be carried out without approval from the IACUC. This includes activities that may be considered exempt activities and/or exempt animals.

This policy applies to all activities, teaching and research, that involve vertebrate animals that are: sponsored by the university; conducted by university faculty, staff, visitors, or students; and conducted using property and/or facilities owned by the university.

Failure to comply with applicable federal policies related to animal care and use may result in civil and/or criminal penalties, and may also result in loss of federal funding to the university.

Cross References: 9 C.F.R. § 2.31; Animal Welfare Act, 7 U.S.C. 2131 et. seq.; Office of Laboratory Animal Welfare, *Guide for the Care and Use of Laboratory Animals*, 8th edition; Office of Laboratory Animal Welfare, *Institutional Animal Care and Use Committee Guidebook*, 2nd edition; ORSP Grants and Contracts Procedures Manual; SFASU IACUC Policies and

Procedures Manual

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

Contact for Revision: Dean of Research and Graduate Studies

Forms: Animals in Research Protocol; IACUC Application – short form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: New Employee Orientation

Policy Number: 11.17

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): The purpose of this policy is to ensure that new employees receive sufficient orientation to enable them to perform their assigned duties. It is the responsibility of each hiring department to require new employees to participate in the new employee orientation.

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 changes to reflect current process.

Reviewers:

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

New Employee Orientation

Original Implementation: September 1990
Last Revision: April *11*~~30~~, 202*2*~~19~~

Purpose

The purpose of this policy is to ensure that new employees receive sufficient orientation to enable them to perform their assigned duties. It is the responsibility of each hiring department to require new employees to participate in the new employee orientation.

General

The human resources department orients new employees to SFA in two different sessions: *a*~~A~~ benefit information session and a *general*~~"Welcome Jacks"~~ orientation session. ~~–~~The hiring department is responsible for scheduling the new employee for each session with human resources.

The benefit information session is conducted by the human resources department ~~on or~~ before *or within* the first *30* days of employment. ~~–~~In this session, the new employee receives detailed information about SFA benefits and retirement options available to new employees.

The *general*~~"Welcome Jacks"~~ orientation is conducted within the first ~~6~~*90 days*~~month~~ of employment by the human resources department. This session provides the ~~-~~new employee with *information*~~an in-depth review~~ *on*~~of~~ SFA's mission, vision, history, culture, policies, procedures, and traditions.

The human resources department also provides hiring departments with an orientation checklist that details ~~-~~appropriate topics to cover with all new employees. ~~-~~The checklist requires hiring departments to provide new employees with *department-specific* information~~ regarding department details~~, training requirements, and ~~information regarding~~ the expectations for performance of the job duties. The checklist should be returned to human resources upon completion *and it will be filed in the employee's personnel file*.

While orientation is required for all new employees, the supervisor should maintain flexibility as to the extent of the orientation sessions, i.e., individuals having previous university employment may not require the in-depth training that would be needed by a first-time employee. At the supervisor's discretion, an employee transferring from one university department to another may *only need to complete the orientation checklist*~~be required to participate only in the departmental employee orientation~~.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: New Employee Orientation Checklist ~~(available in Human Resources)~~

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: News Releases (and Media Contact)

Policy Number: 15.3

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: Chief Marketing Communications Officer

Purpose of Policy (what does it do): Guides interaction with news media. The intent of the this policy and its previous iterations clearly show that it is designed to guide more than just news releases, but also to advise on interacting with the news media.

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 name change includes "Media Contact" to expand on the understanding beyond just news releases.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

News Releases *and Media Contact*

Original Implementation: 1950
Last Revision: April ~~30, 2019~~*11, 2022*

The Division of University Marketing Communications is responsible for producing and distributing news releases, publishing and promoting news of the university, responding to media inquiries, and monitoring news coverage of the university.

The university requests members of the news media to coordinate all interviews, campus visits, and inquiries through the Division of University Marketing Communications.

Departments and individuals seeking media coverage concerning university activities ~~should~~*must* request assistance from *the Division of* University Marketing Communications~~, which will work collaboratively with the requesting party to evaluate the newsworthiness of the activity~~. When an activity is determined to be newsworthy, University Marketing Communications will prepare ~~and market~~*, in coordination with the requesting party, and promote* a release of information to the ~~news media. As a general guideline, requests for media coverage should be made a minimum of 10 days before the scheduled event.~~*public and news media.*

Departments and individuals ~~should~~*must* not contact the news media without ~~the~~ assistance ~~of University Marketing Communications. News media receive numerous requests for coverage~~ from ~~a wide range of organizations and individuals. Uncoordinated coverage requests and/or requests for coverage of activities that may have little or no news value have the potential to diminish~~ the ~~effectiveness of University Marketing Communications when it makes requests for coverage~~*Division* of ~~newsworthy activities.~~ University Marketing Communications ~~may grant exceptions to select university divisions regarding this aspect~~. *Coverage requests, statements, and policies* of ~~this policy~~*the university, its component entities or representatives must be clear, consistent, and compliant.*

~~Upon occasion,~~*When members of the* news media ~~may~~ directly contact university faculty or staff ~~members seeking interviews or comments that may be published or broadcast. Faculty and staff members are encouraged, as time permits, to~~ *, those individuals may* share ~~their~~ insights on topics within their areas of scholarly study or professional expertise. Such participation has the potential to highlight the quality of university personnel, bring positive visibility to the university, and provide a valuable community service. ~~The faculty~~*Employees are discouraged from commenting on policies, actions,* or ~~staff member~~*events outside of their immediate responsibilities or expertise. Anyone* contacted by the media ~~should~~*must* notify *the Division of* University Marketing Communications of the interview request. ~~University Marketing Communications can assist both sides in facilitating the interview and monitor the media outlet for publication or broadcast of the interview.~~

Cross Reference: None

Responsible for Implementation: ~~Vice President for University Advancement~~
~~*Division*~~
~~**Contact for Revision:** Executive Director of University Marketing Communications,~~ *Chief Marketing Communications Officer*

Contact for Revision: *Chief Marketing Communications 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: Payments to Human Research Subjects

Policy Number: 8.8

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

Date of last revision, if applicable: 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 regards to human subjects who may incure personal costs for research and entitlement to be reimbursed.

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:

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

Payments to Human Research Subjects

Original Implementation: July 21, 2009
Last Revision: ~~January 29, 2019~~*April 11, 2022*

During the conduct of research studies with human subjects, it is recognized that participants may incur personal costs for which they are entitled to reimbursement. It is also desirable in some instances to provide a reward or recognition to participants for the time and effort they have devoted to participating in a research project.

At the time of application to the Stephen F. Austin State University (SFA) Institutional Review Board (IRB) for approval of the conduct of research studies with human subjects, the principal investigator must present a rationale to establish the appropriate level of compensation for participants in the study.

Any reimbursement or incentive to participants in a research study must not involve coercion or constitute undue inducement or influence an individual's decision to participate in the study.

Subject to university policy, cash, gift cards and gifts such as t-shirts or coffee mugs may be used for compensation and/or personal expenses such as travel and childcare costs may be reimbursed. Gifts must be provided to participants at the completion of the relevant activity. Payments by check should be avoided as they require disclosure of personal information to the business office.

Use of Grant Funds – Reimbursements or incentives for participation in a research study must be detailed in the grant application and in the application to the IRB by method and amount. The payments must be approved by the funding agency and the IRB.

Informed Consent - It is critical that participants are informed during the consent process that if, either in one or multiple studies in a given calendar year, the total payments and/or gift values exceed $100, their social security number and contact information will be provided to the SFA business office to comply with Internal Revenue Service regulations. Further, study participants must be informed that if they receive payments that total more than $599, they will receive a tax form from SFA at the end of the calendar year.

Finally, participants must be told that they can elect not to receive payments to avoid disclosure of this information to the SFA business office.

Documentation – Principal investigators are required to maintain a tracking list or spreadsheet with individual code numbers and payments of any value. Once compensation exceeds a total of $100 in a calendar year, the principal investigator must record the individual's name, social security number, address, and signature at the time of payment. Unless the study guarantees participant anonymity, the principal investigator must also keep a master list linking code numbers and

individual participant names, which must be kept in a password-protected computer file and/or locked filing cabinet. The tracking spreadsheet or other documentation with study and individual code numbers must be retained by the principal investigator for a minimum of five years after completion of the study or the requirements of the specific grant award, whichever is longer.

Cross Reference: Ethical Principles and Guidelines for the Protection of Human Subjects in Research: The Belmont Report; 45 C.F.R. § 46; Gifts, Prizes and Awards (3.18).

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

Contact for Revision: Dean of Research and Graduate Studies

Forms: SFA business office and Institutional Review Board forms

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Reproduction of Copyrighted Works by Educators and Librarians

Policy Number: 9.2

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: Provost and Executive Vice President for Academic Affairs

Purpose of Policy (what does it do): Policy discusses copyright act of others work.

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: Text updates 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

Reproduction of Copyrighted Works by Educators and Librarians

Original Implementation: 1979
Last Revision: April ~~30, 2019~~*11, 2022*

The Copyright Act (17 U.S.C. §§ 101-1332) affects all types of reproduction and/or use of others' works. The following ~~guidelines~~ *policy* provide*s* general copyright information *and guidelines* useful to the academic community.

Public Domain

~~Public domain refers to creative materials that are not protected by intellectual property laws such as copyright, trademark, or patent laws. Generally, if a work was published without copyright notice under the authorization of the copyright owner and the law does not provide an exception for the omission, the work is in the public domain if published in the U.S. *95 years after the author's death.*~~after 1922 *(as of 2021, 1926 or earlier)* but before March 1, 1989. The presence or absence of a copyright notice is not of significance in determining whether a work is copyrighted or is in the public domain. for works published on or after March 1, 1989.
Public domain refers to creative materials that are not protected by intellectual property laws such as copyright, trademark or patent laws. Consult the U. S. Copyright Office website (https://www.copyright.gov/) to determine when specific creative materials are in the public domain. The presence or absence of a copyright notice is not of significance in determining whether a work is copyrighted or is in the public domain.

The following factors may be used to determine what constitutes a public domain work:

- works that lack originality (e.g., phone book *(white pages)*);
- works that are no longer protected by copyright;
- freeware (must be expressly stated);
- U.S. Government publications;
- facts or theories; or,
- ideas, short phrases, processes, methods, and systems described in copyrighted work that are not otherwise protected by patents.

Copies in the Library (17 U.S.C. § 108)

~~W~~*W*hen *library staff are* ~~copying or digitizing~~*duplicating* materials *for a patron*, the ~~responsible party~~*patron* will include the following:

- any copyright notice on the original;
- appropriate citations and attributions to the source; and,

The library staff member will:

- ~~a Section 108(f)(1)~~ *stamp the sentence below on the first piece of each item photocopied, attach it to the glass on the photocopying equipment so that it is automatically transferred to each sheet, attach a sticker bearing this notice to each item photocopied, or use some other method whereby this message is affixed to all reproductions.* ~~notice indicating that making a copy may be subject to copyright law.~~

  "Notice: This material may be protected by copyright law (Title 17 U.S. Code)."

Fair Use Guidelines (17 U.S.C. § 107)

In determining whether the use of a work is fair use, all four of the following statutory factors should be considered:

(1) the purpose and character of the use, including whether such use is of a commercial nature or is for nonprofit educational purposes;
(2) the nature of the copyrighted work;
(3) the amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
(4) the effect of the use upon the potential market for or value of the copyrighted work.

Single Copying for Instructional Use

The following guidelines can be followed in copying materials by faculty, however the law may allow more or less to be copied than stated in these guidelines. A single copy may be made of any of the following by ~~or for~~ a faculty member ~~at his or her individual request~~ for ~~his or her~~*their* scholarly research or instructional purposes:

(1) a chapter from a book;
(2) an article from a periodical title or newspaper;
(3) a short story, short essay or short poem, whether or not from a collective work;
(4) a chart, graph, diagram, drawing, cartoon, or picture from a book, periodical, or newspaper;
(5) a single copy of an excerpt from a musical work, provided the excerpt is less than 10% of the entire work and is less than a performable unit, such as a section, movement, or aria; or,
(6) a single copy of an entire work, provided a copy cannot be obtained at a fair price.

Multiple Copies for Instructional Use

Multiple copies (not to exceed in any event more than one copy per pupil in a course) may be made by ~~or for the~~ faculty for classroom use or discussion; ~~provided that~~ copies in excess of this amount may be permissible in some circumstances under fair use. Copying ~~will~~ *may* not be repeated with respect to the same item for use by the same individual from term to term. In all circumstances other than the specific fair use guidelines described above for single or multiple copies, permission must be obtained from the copyright holder.

General Guidelines for Copyrights Related to Academic Activities

Reproduction by Libraries and Archives (17 U.S.C. § 108)

Under Section 108 of the Copyright Act, the library is authorized to exercise special rights in addition to fair use.

- To archive lost, stolen, damaged, or deteriorating works, if a replacement cannot be obtained at a fair price;
- To engage in isolated and related reproduction or distribution of a single copy for library patrons; and,
- To provide, at the request of another library, a copy of an article or book chapter through interlibrary loan. The library may acquire up to five copies of an article from a journal published within the last five years within a calendar year. If a request exceeds the five copies permitted, the library will pay copyright royalties to the Copyright Clearance Center for subsequent requests.

For works in the last 20 years of protection and not available at a fair price, more generous copying than indicated herein may be performed, provided the purpose of the copying is to support preservation, scholarship, or research.

Reserve Collections

It is strongly recommended that faculty link to items in the library's databases to the university's learning management system instead of duplicating materials for a class. Copies that are digitized for placement in the university's learning management system should be structured to limit access to students registered in the course for which the materials have been placed on reserve and to instructors and staff responsible for the course or the electronic system. *The availability of these materials should be limited to the duration of the course.*

When ~~digitizing~~ *duplicating* copyrighted works for this purpose, the following limitations should be observed:

- single articles or chapters; several charts, graphs or illustrations; or other small parts of a work;
- a small portion of materials required for the course; or,
- copies of materials a faculty member or the library already possesses legally (i.e., by purchase, license, fair use, interlibrary loan, etc.).
- *Digital Rights Management (DRM) protections on materials may not be circumvented.*

Course-pack Guidelines

The Fair Use Guidelines are applicable to course-packs. The faculty/staff member who compiles course-pack materials will be responsible for complying with ~~these~~ *the four factors of Fair Use.* ~~guidelines.~~
Using a commercial copy shop does not necessarily relieve the course-pack creator of liability, unless the ~~above guidelines~~*four factors of Fair Use* are followed or the copy shop pays appropriate royalties. ~~Campus copy centers are not permitted to copy course-packs, unless these guidelines are followed.~~

Computer Software

Only explicitly stated freeware, not shareware or other licensed software, is allowed to be freely used without a license. Appropriate licenses must be obtained for all other software use. The software user is responsible for reading and complying with all license agreements. Other university computer use policies ~~will~~ also apply.

Guidelines for Music

The university maintains some general licenses for copyrighted music use with Broadcast Music Incorporated (BMI) and American Society of Composers, Authors and Publishers (ASCAP) for specific use areas (College of Fine Arts, Student Activities, etc.). Beyond those areas, use of music must be licensed or specific permission obtained. General guidelines for copying music are outlined below.
Copying will be limited to:

- entire works of sheet music for performance-related emergencies;
- performable units of sheet music (movements, sections, arias, etc.) if out of print;
- recordings of student performances for teacher or institutional evaluation or student's portfolio; and,
- one copy of sound recordings for classroom or reserve room use.

If emergency copies are made, they must be replaced with purchased originals as soon as practical.

Performances and Displays in Face-to-Face Teaching and Broadcasts

Educational institutions and governmental agencies are authorized to publicly display and perform others' works in the course of face-to-face teaching activities, and ~~to a limited degree,~~ in broadcasts ~~where there is a delayed transmission~~ of faculty instruction. These rights are described in Sections 110 (1) and (2) of the Copyright Act~~.~~ *(The TEACH Act).*

Performances and Displays in Distance Learning *(17 U.S.C. § 110 (1) (2)~~).~~ - the TEACH Act)*

Sections 110(1) and (2) of the Copyright Act ~~may~~ *does* not ~~cover~~ *supersede* fair use *under 17 U.S.C. § 107*of the ~~performance of others' works in online course materials~~*copyright act*. For

purposes of distance learning, ~~small~~ parts of others' works may be used for a limited time, and only if a faculty member or the institution possesses a legal copy of the work.

Access will be limited to students enrolled in the class and administrative staff, and will be terminated at the end of the class term.

Digitizing and Using Images for Educational Purposes

An image should be purchased or licensed if it is available at a fair price. If an image is not readily available online or for sale or license at a fair price, it ~~should~~ *may* be digitized ~~and~~ *if* used according to the following guidelines:

- Access should be limited to students enrolled in the class and administrative staff as needed, and terminate access at the end of the class term (use of "thumbnails" is typically considered fair use and may be used accordingly, without this more stringent restriction).
- Use of these images at conferences is permissible.
- Students may download, transmit, and print these images to complete academic requirements, and may keep works containing images in their portfolios.
- ~~Unnecessary copies are not permissible.~~

Digitizing and Using Others' Works in Multimedia Materials for Educational Purposes

The Conference on Fair Use (CONFU) suggests that: fair use adheres to specific numerical portion ~~limits~~*guidelines*; copies of the multimedia work should be strictly controlled; and fair use "expires" after two years. Although these are important considerations, CONFU ~~numerical limits~~*guidelines* do not constitute the outer limits of fair use for educational purposes.

The guidelines herein allow for the creation of unique works within the limitations provided, but not to make or distribute multiple copies. (Multimedia materials that will be licensed, distributed, or sold must obtain appropriate permission from each applicable copyright holder.)

Students, faculty, and staff may incorporate others' works into a multimedia work, and display and perform a multimedia work in connection with or creation of required academic and professional materials.

~~All employees who assist in making copies must comply with the fair use guidelines. All public copy machines or public copy centers on campus must have a warning notice on or near each machine which states that the responsibility for copyright infringement rests with the user. The use of printed copyright warnings transfers a portion of the responsibility for copyright compliance to the individual user.~~

Personal liability for copyright infringement can be created for willful acts. This policy has been formulated to provide specific guidance on the variety of circumstances where fair use is

permissible. The copyright law provides a good faith fair use defense (17 U.S.C. § 504(c)(2)). It applies only if the person who copied material reasonably believed that what he or she did was fair use.

Federal legislation entitled the No Electronic Theft (NET) Act creates criminal penalties for non-commercial copyright infringement of a sufficient dollar value. The academic community must be aware that distribution of pirated computer software or other copyrighted material on computer bulletin boards or other methods of distribution may constitute a federal crime, regardless of whether or not the infringer receives financial gain.

The Digital Millennium Copyright Act (DMCA) limits university liability as an internet service provider for certain copyright infringements created on-line. The university's registered agent for on-line copyright infringement complaints ~~will be~~*is* the general counsel. The DMCA establishes procedures whereby, upon receipt of proper complaints, the university will block access to or take down allegedly infringing material and notify the web page owner of the complaint. Alleged infringers may issue a counter-notice, which includes a signature, description of removed material, explanation why the material did not infringe any copyright, and their name, address and phone number, with a consent to the jurisdiction of the court to be sued. Upon receipt of this counter-notice, the university will re-post the material. Repeat infringers will be subject to termination of internet service by the university.

Recording of Broadcasts for Educational Use

Material transmitted for public programming by broadcast stations, cable systems, satellite, or any other transmission medium may be recorded and used for educational purposes in accordance with federal copyright law, except where forbidden by an explicit agreement between the parties originating and receiving the program or information. Broadcast programs are televised programs transmitted by television stations for reception by the general public without charge. Programs may not be recorded from a television satellite/cable unless these programs are authorized for free reception or the institution obtains a license to copy the programs.

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

(1) A broadcast transmission may be recorded off-air simultaneously with the broadcast transmission (including simultaneous cable retransmission) and retained by Stephen F. Austin State University (SFA) for a period not to exceed forty-five (45) consecutive calendar days after the date of the recording. Upon conclusion of the retention period, all off-air recordings must be erased or destroyed immediately by the holder of the recording.
(2) An off-air recording may be used only once by an instructor for relevant teaching activities, but may be repeated one other time when instructional reinforcement is necessary. All use of recordings must be in a classroom or in similar places devoted to instruction during the first

ten (10) consecutive school days in the 45-calendar-day retention period. School days are defined as school session days (not counting weekends, holidays, vacations, examination periods, or other scheduled interruptions) within the 45-calendar-day retention period.

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

(4) An off-air recording may be copied to a limited legitimate number of copies to meet the needs of instructors under these guidelines. Each additional copy will be subject to all provisions governing the original recording and must contain the copyright notice of the broadcast program as recorded.

(5) If the instructor wishes to add the broadcast program to the curriculum, permission must be obtained from the copyright owner.

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

Further information can be obtained by accessing the webpage of the U.S. Copyright Office within the Library of Congress at: http://www.copyright.gov. The university's general counsel may be contacted with specific inquiries.

Cross Reference: 17 U.S.C. §§ 101-1332; No Electronic Theft (NET) Act, Pub. L. No. 105-147, 111 Stat. 2678; Digital Millennium Copyright Act (DMCA), Pub. L. No. 105-304, 112 Stat. 2860 (1998); CONFU Guidelines, ~~Computer and Network Security~~*Acceptable Use of Information Resources* (14.2); ~~Computing Software Copyright (9.1);~~ Digital Millennium Copyright (9.3)~~;~~

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

Contact for Revision: Library Director, 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: Student Records

Policy Number: 2.10

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: Enrollment Management

Purpose of Policy (what does it do): Policy represents the university's compliance statement with regards to the Family Educational Rights and Privacy Act (FERPA).

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: Removing "Class Roster" from the list of items designated as Directory Information will align the policy with best practices related to FERPA.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Mickey Diez, Registrar
Erma Brecht, Executive Director of Enrollment Management
Damon Derrick, General Counsel

Student Records

Original Implementation: 1974
Last Revision: ~~February 2, 2021~~*April 11, 2022*

The purpose of this policy is to comply with federal law which: (1) grants to students the right of access to their education records, (2) protects students from illegal use of their education records and (3) restricts the disclosure of the social security numbers of students.

I. Definitions

For the purposes of this policy, the university adopts the following definitions:

A. Student means any person who attends or who has attended the university.

B. Education records means any record (in handwriting, print, digital, tapes, film, or other medium) maintained by the university or an agent of the university which is directly related to a student, except:

1. a personal record kept by a staff member, if it is kept in the personal possession of the individual who made the record, and information contained in the record has never been revealed or made available to any other person except the maker's temporary substitute;
2. an employment record of an individual whose employment is not contingent on the fact that he/she is a student, provided the record is used only in relation to the individual's employment;
3. records maintained by the University Police Department if the records are maintained solely for law enforcement purposes, are revealed only to law enforcement agencies of the same jurisdiction, and the department does not have access to education records maintained by the university;
4. records maintained by University Health Services if the records are used only for treatment of a student and made available only to those persons providing the treatment;
5. records maintained by University Counseling Services if the records are used only for treatment of a student and made available only to those persons providing the treatment; and,
6. alumni records that contain information about a student after he/she is no longer in attendance at the university and the records do not relate to the person as a student.

C. A school official is a person employed by the university in an administrative, supervisory, academic, research or support staff position (including law enforcement unit personnel and health staff); a person or company with whom the university has

contracted as its agent to provide a service instead of using university employees or officials (such as an attorney, auditor or collection agent); a person serving on the Board of Regents; a scholarship committee, for the sole purpose of evaluating scholarship recipients; an outside individual/entity involved in the financial aid process reviewing information regarding financial aid eligibility; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks.

II. A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibilities for the university. University employees, including student employees, and others designated by the Registrar will annually complete Family Educational Rights and Privacy Act (FERPA) training. Initial training must be completed no later than thirty (30) days from start of employment or granting of access. If training is not completed as required, access to any system containing student information may be removed.

Annual notification is published on the SFA website and in the annual Welcome Edition of the Pine Log. Specific information may be obtained by consulting with administrative officials listed in this policy.

III. Student Rights

Each student has the right to:

A. receive a list of the types of education records maintained by the university;
B. inspect and review the contents of his/her records, excluding the exceptions included in this policy;
C. obtain copies of his/her records at personal expense if failure to provide such copy would effectively prevent the student from inspecting or reviewing the record;
D. receive explanations and interpretations of his/her records; and,
E. request a hearing to challenge the contents of his/her records.

IV. Procedure to Inspect Education Records

Students may inspect and review their education records upon request to the appropriate record custodian.

Students should submit to the record custodian or an appropriate university staff person a written request that identifies as precisely as possible the record or records they wish to inspect.

The record custodian or an appropriate university staff person will make the needed arrangements for access as promptly as possible and notify the student of the time and place

where the records may be inspected. Access must be given in 45 days or less from the receipt of the request.

When a record contains information about more than one student, the student may inspect and review only the records that relate to him/her.

V. Types and Custodians of Student Records

Type of Record	Content	Custodian
Academic	Grades, classification, academic standing, application for admission and admissions scores.	Registrar, Executive Director of Enrollment Management
Academic	Student Work products or artifacts	Instructor of Record, Department, or College
Financial	Amount of financial assistance given by university and type of assistance.	Director of Financial Aid and Scholarships, *Student Business Services* ~~Controller~~
Disciplinary	Nature of offense and type of university action.	Director of Student Rights and Responsibilities
Placement	Academic record and documents of recommendations	Director of the Center for Career and Professional Development.
Health	Medical history to include all treatment by university physicians.	Director of Health Services
Counseling	Test scores and counseling sessions.	Director of Counseling Services

VI. Fees for Copies of Records

The fee for copies of education records will be ten (10) cents per page.

VII. Right of University to Refuse Access

The university reserves the right to refuse to permit a student to inspect the following records:

A. the financial statement of the student's parents;

B. letters and statements of recommendation for which the student has waived his/her right of access, or that were placed on file before January 1, 1975;
C. records connected with an application to attend the university if that application was denied; and,
D. those records that are excluded from the definition of education records.

VIII. Refusal to Provide Copies

The university reserves the right to deny transcripts or copies of records not required to be made available by law in any of the following situations:

A. the student has an unpaid financial obligation to the university.
B. there is an unresolved disciplinary action against the student.

IX. Disclosure of Education Records

The university will disclose information from a student's education records only with the written consent of the student, except:

A. to school officials who have a legitimate educational interest in the records;
B. to officials of another school, upon request, in which a student seeks or intends to enroll;
C. to certain officials of the U.S. Department of Education, the Comptroller General, and state and local educational authorities, in connection with certain state or federally supported education programs;
D. in connection with a student's request for or receipt of financial aid, as necessary to determine the eligibility, amount or conditions of the financial aid, or to enforce the terms and conditions of the aid;
E. in compliance with a state law requiring disclosure that was adopted before November 19, 1974;
F. to organizations conducting certain studies for or on behalf of the university;
G. to accrediting organizations to carry out their functions;
H. to parents of an eligible student who claim the student as a dependent for income tax purposes, unless the student has a confidentiality request on file;
I. to comply with a judicial order or a lawfully issued subpoena;
J. to appropriate parties in a health or safety emergency; and
K. other disclosures that the Family Educational Rights and Privacy Act (FERPA) authorizes without consent.

Proof of status from the requesting individual or organization will be required to gain access to education records.

X. Record of Requests for Disclosure

The university will maintain a record of all requests for and/or disclosure of information from a student's education records. The record will indicate the name of the party making the request, any additional party to whom it may be disclosed, and the legitimate interest the party had in requesting or obtaining the information. The record of requests may be reviewed by the student.

XI. Directory Information

The university designates the following items as directory information:

A. name,
B. all addresses, including university issued email addresses,
C. all telephone numbers,
D. major field of study,
E. academic classification,
F. participation in officially recognized activities and sports,
G. weight and height of members of athletic teams,
H. dates of attendance and enrollment status,
I. degrees and awards received,
J. previous schools attended,
K. photograph, and
~~L. class roster.~~

The university may disclose any of these items without prior written consent, unless the student files a Request to Prevent Disclosure of Directory Information form with the Registrar's Office. Students have until the twelfth-class day of a regular semester or the fourth-class day of a condensed semester to file the form before information may be released by the university for that semester.

XII. Review and Destruction of Education Records

The university may destroy obsolete records provided the right to access has been followed as outlined in Section 3 of FERPA.

XIII. Correction of Education Records

A student has the right to request a correction on his/her education records that he/she believes is inaccurate, misleading or in violation of his/her privacy rights. The university shall attempt to settle the disputed contents of an education record by informal proceedings. If informal proceedings fail to achieve a satisfactory settlement, the student may request a formal hearing using the following procedures.

A. To receive a hearing, a student must file a written request with the president of the university. In so doing, the student should identify the part of the education record he/she wants amended and specify why he/she believes it is inaccurate, misleading or in violation of his/her privacy rights.

B. Within 10 working days of receiving the request, the president will arrange for a hearing, and notify the student at least five working days in advance of the date, place and time of the hearing.

C. The hearing will be conducted and the decision rendered by a hearing officer, appointed by the president, who does not have a direct interest in the outcome of the case. The president shall name the hearing officer in the written notice sent to the student.

D. The student shall be afforded a full and fair opportunity to present evidence relevant to the issues listed in the original request to amend his/her education records.

E. The hearing officer will prepare a written decision based solely on the evidence presented at the hearing.

F. If the hearing officer decides that the disputed contents of the education record are inaccurate, misleading or in violation of the student's right to privacy, the officer will amend the record and notify the student in writing that the record has been amended.

G. If the hearing officer decides that the disputed contents of the education record are not inaccurate, misleading or in violation of the student's right to privacy, the officer will notify the student of his/her right to place a statement in the education record commenting on the disputed contents and/or a statement setting forth the student's reasons for disagreeing with the decision.

H. The student's statement will be maintained as part of the student's education record as long as the disputed contents are maintained by the university. If the university discloses the disputed contents of the education record to any person, it must also disclose the student's statement to the person.

XIV. Disclosure of Social Security Number

Federal law requires that when any federal, state or local government agency requests an individual to disclose his/her social security number (SSN), that individual must also be advised whether that disclosure is mandatory or voluntary, by what statutory or other authority the number is solicited, and what uses will be made of it. Accordingly, students, or applicants for admission as students, are advised that disclosure of a student's SSN is mandatory as a condition for participation in certain activities at the university.

Under the mandatory category, the SSN is used to verify the identity of the student, and as an identifier to record necessary data accurately for activities such as admissions; housing and food services; determining and recording eligibility for student financial assistance to include loans, scholarships, and grants; student employment; recording entitlement to and

disbursement and repayment of loans; recording entitlement to and payment of scholarships, grant allowances, and official student travel and per diem; determining and recording eligibility for and participation in athletic and similar events; and other related requirements which may arise.

Disclosure of a student's SSN is voluntary for certain other activities. Under the voluntary category, the SSN is used to verify the identity of the student and to record data accurately for such activities as testing, reporting and evaluation of the ACT and the SAT; recording and reporting student grades and related academic data; registering for placement services to include preparation of resumes and furnishing information to prospective employers and such other related uses which may arise.

Authority for requiring the disclosure of a student's SSN is grounded in federal law that provides that an agency may continue to require disclosure of an individual's SSN as a

condition for the granting of a right, benefit or privilege provided by law where the agency required this disclosure under statute or regulation prior to January 1, 1975, in order to verify the identity of an individual.

Pursuant to statutes passed by the state of Texas and the federal government and to regulations adopted by agencies of the state of Texas and the federal government, and by the Board of Regents of the university, the disclosure of the SSN may be required on student application forms and other necessary student forms and documents.

Cross Reference: Family Educational Rights and Privacy Act of 1974, 20 U.S.C. § 1232g; 34 C.F.R. Part 99; 5 U.S.C. § 552a

Responsible for Implementation: Executive Director of Enrollment Management

Contact for Revision: Executive Director of Enrollment Management; 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: University Letterhead (and Email Signatures)

Policy Number: 15.5

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: Chief Marketing Communications Officer

Purpose of Policy (what does it do): Explains standards and processes for having consistent representation of university information in correspondence

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: This review adds Email Signatures, which serve a similar function to University Letterhead. Both are included in official university correspondence and represent the official nature of included materials. Consistency of brand identity and authority are vital to institutional authority. This change includes limitations on the personalization available to email signatures, in the interest of preserving the university against misunderstandings of its official positions, values and views.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

University Letterhead *and Email Signatures*

Original Implementation: May 9, 1985
Last Revision: April ~~30, 2019~~*11, 2022*

University departments are required to use ~~printed and/or electronic~~ letterhead *and email signature blocks* as designated by the president and produced by *the Division of* University ~~Printing Services.~~ *Marketing Communications (UMC). Shops or vendors which produce printed letterhead must be qualified as designated by UMC.*

Letterhead design must be developed or approved by the Division of University Marketing Communications, in compliance with current style and graphic identity standards. Email signatures are considered a form of letterhead, representing official university communication and presentation of the university's brand.

Employees may not add other logos, images, colors, mottos, symbols, quotations, taglines or other statements to the email signature block, as these may be misunderstood as representing the university's official positions, values or views (see Policy 14.2 and 15.1).

All faculty and staff shall comply with this policy by creating an approved email signature block and using it consistently when communicating via their university email accounts. Should there be noncompliance to this policy, the individual's supervisor and/or ~~*vice president*~~*president's cabinet member will enforce compliance through appropriate policy.*

Ordinarily, sub-units of departments use the letterhead of the parent department, especially if the unit's correspondence is primarily with students. However, if the sub-unit is of a permanent or semi-permanent nature and has ~~a majority of its~~*significant* correspondence with off-campus agencies or individuals, it can be identified under the name of the parent unit on the letterhead. If a unit is independent of any department and is of a permanent or semi-permanent nature, it may have its own letterhead, consistent with the university design.-

Information in the stationery heading includes the university name; the name of the unit or department; post office box, telephone *and/*or fax number; general email address*; short web* ~~*URL*~~*uniform resource locater (URL)*; and city, state, and zip code.

Any deviation from the university letterhead design *or email signature block* must be approved by ~~the president.~~*UMC.* Requests to deviate from ~~the~~ standard ~~letterhead~~ design ~~should~~*may* be directed, in writing, to the ~~executive director~~*chief marketing communications officer in the Division* of University Marketing Communications.

Cross Reference: ~~None~~*14.2 "Acceptable Use of Information Resources," and 15.1 "Email for University Communication"*

Responsible for Implementation: ~~Vice President for University Advancement~~ *Chief Marketing Communications Officer*

Contact for Revision: ~~Executive Director~~*Division* ~~of University Marketing Communications,~~ *Chief Marketing Communications 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: University Publications (Mass Email and Webpages)

Policy Number: 15.8

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: Chief Marketing Communications Officer

Purpose of Policy (what does it do): Provides guidelines to ensure materials promoting or representing the university are followed to ensure accuracy, professionalism, character, integrity and accreditation status of the institution

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: This review adds Mass Email and Webpages, which are increasingly used and even outpacing the use of University Publications to represent the institution. This revision includes additional formats and materials used in the advent of digital technology. It clarifies the involvement of UMC in planning, executing, and approving materials.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

University Publications*, Mass Email, and Webpages*

Original Implementation: March 15, 1977
Last Revision: April ~~30, 2019~~*11, 2022*

~~To assure that communication to the general public contains accurate and current information and presents, through both content and appearance, a professional image that properly reflects the character, integrity, and accreditation status of the institution, official~~*Official* university publications*, mass emails, webpages* and ~~non-broadcast~~ video ~~presentations~~ intended ~~for off-campus distribution,~~*to promote* or ~~on-campus distribution to non-~~*represent the* university ~~individuals~~ or ~~groups (those not employed by or enrolled in the university),~~*its activities* must be approved by *the Division of* University Marketing Communications prior to printing or electronic distribution~~. Communication intended solely for students and/or university employees is not subject to this approval policy.~~ *or publication to ensure accuracy, professionalism, character, integrity and accreditation status of the institution.*

Examples of ~~communication~~*communications* that must be submitted for approval include ~~academic bulletins~~*, though are not limited to*, brochures, flyers, invitations, ~~pamphlets~~*mass emails*, handbooks, newsletters, program announcements, advertising (newspaper, magazine, radio, television, online, billboards, posters, etc.), and publications for intercollegiate athletics (media guides, programs, newsletters, etc.).

~~This approval policy applies to publications printed~~*While such materials must be reviewed* by ~~on-campus or off-campus printers~~*the Division of University Marketing Communications, the university prioritizes materials directly related to*, and ~~departments using desktop publishing or video equipment.~~*which display proven progress toward, student recruitment, enrollment and donor relations.*
University communication and marketing efforts must be planned, executed, or approved by the Division of University Marketing Communications. Review may include any or all of the following: ~~writing~~*copywriting*, editing*, formatting, coding, web design*, layout and graphic design, ~~videotaping~~*photographing, video recording*, video editing, and assessing visual and audio content. ~~Assistance with scheduling and purchasing advertising placements, preparing specifications required for competitive bidding, and coordinating production schedules and delivery with outside vendors also may be provided.~~

Without approval of the materials from *the Division of* University Marketing Communications, university procurement will not issue a purchase order for advertising or off-campus printing services.

Prior to submission to University Marketing Communications ~~for approval~~, a publication or advertisement should be reviewed and approved in writing ~~(use Approval for Printing form available on the University Marketing Communications website)~~ by the appropriate authorities

within the department and division. *Once internally approved, the department, office, or division must submit the piece for final approval through the Division of University Marketing Communication's online service desk.*

Allow at least 10 working days for *the Division of* University Marketing Communications to review materials, but it is strongly encouraged that materials be submitted well in advance of publication or printing deadlines, as revisions may be required *and also may include a redesign by University Marketing Communications*.

Upon approval by *the Division of* University Marketing Communications, the ~~head~~*designee* of the originating department ~~or a designee will~~*may* work directly with *the SFA Graphic Shop, the Division of* University ~~Printing Services~~*Marketing Communications* or Procurement and Property Services to initiate the printing process. If an off-campus printer is used and competitive bidding is required, *the Division of University Marketing Communications and/or* Procurement and Property Services will develop specifications and secure bids as required by the Best Value Procurement ~~Policy~~*policy* (17.1).

Materials submitted to ~~University Printing Services~~*the SFA Graphic Shop* or Procurement and Property Services without proper approval will be returned to the originating department. If a department uses its own equipment or an outside vendor to print a publication or produce radio and television advertisements or video presentations, University Marketing Communications must authorize printing*, publication,* or distribution.

The president may authorize individual exemptions to ~~the university publications~~*this* policy. Such a request must be made in writing to the ~~executive director~~*chief marketing communications officer of the Division* of University Marketing Communications.

All university publications should clearly reflect the date the publication is produced or initially distributed. —This includes publications sponsored by or purchased for distribution by the university or released by research firms, consulting firms or other private institutions under contract with the university. This does not include correspondence, memos or other routine forms.

Cross Reference: None

Responsible for Implementation: ~~Vice President for University Advancement~~*Chief Marketing Communications Officer*

Contact for Revision: ~~Executive Director of University~~*Chief* Marketing Communications *Officer*

Forms: Approval for Printing (available from ~~University Printing Services~~*the SFA Graphic Shop*)

Board Committee Assignment: Academic and Student Affairs

Stephen F. Austin State University

Board of Regents

Academic Tours

Monday, April 11, 2022

Schedule

9:30 a.m.	Travel from Austin Building to School of Social Work
9:45 a.m.	Tour School of Social Work
	Led by Dr. Emmerentie Oliphant, Interim Director School of Social Work
10:40 a.m.	Depart for DeWitt School of Nursing
11:00 a.m.	Tour School of Nursing
	Led by Dr. Tammy Harris, Director School of Nursing
11:50 a.m.	Depart for Campus
12:10 p.m.	Arrive at Eatery on the East

Stephen F. Austin State University
School of Social Work

Important to know!

- The School of Social Work is accredited by the Council on Social Work Education (CSWE).
- We have been in existence for 43 years!
- Partnerships with more than 200 agencies across the region.
- Besides offering a BSW and MSW program, we house the Center for Research and Rural Development, and the Child Welfare Professional Development Project.
- We offer the programs in Nacogdoches, Lone Star Montgomery in Woodlands and Tyler Junior College in Tyler.
- We will start a DSW program pending THECB approval starting Spring 2023.

BSW Program

- Program started in **1979.**
- Current enrollment: **237.**
- Offsite programs at Lone Star College, Montgomery (since 2016) in Woodlands and Tyler Junior College (past 17 years).
- Starting a BSW online program in Fall 2022 pending approval. Based on need and an increased interest during the COVID-19 pandemic.
- Students from rural East Texas and urban areas.
- Recruitment across the region including Houston and surrounding areas.
- BSW students successfully apply for MSW advanced standing. They are able to complete undergraduate and graduate programs in 5 years (2+2+1).

MSW Program

- Program started in **1998**
- Current enrollment**: 141**
- MSW online program (advanced standing) started in 2019.
- Increase in enrollment of online program since the pandemic (from 50 graduates per year to more than 100 per year).
- Due to online, applications from across the nation. CSWE approved border states, we accept students who graduated from a border state university.
- Offsite programs at Lone Star College, Montgomery (since 2016).

- Students participate in study abroad programs to Ghana and Panama with future agreements programs in Brazil and India.
- Involvement with Texas International Education Consortium (TIEC) which partners with other countries to bring the global experience into the classroom.

DSW Program

- The program will be the only DSW program in Texas.
- Focus on teaching, practice, leadership and administration.
- Anticipated start date: January 2023.
- Anticipated enrollment: 20 students per year.
- Three-year 54 credit hour program.

Field Placements

- Undergraduate and graduate interns complete up to 500 hours each semester in diverse community agencies.
- Student interns are able to work directly, under supervision of an agency social worker, with individuals, families, groups, communities and organizations.
- Student interns are able to demonstrate social work competencies through in-person contact with clients and constituencies.
- Agency Affiliation Agreements with over 200 agencies in the region.
- Burke, Nacogdoches Library, Nacogdoches County Mental Health Court, HOPE Food Pantry, Texas Health Institute, Special Health Resources for Texas and Houston Resource Group are examples of agencies.
- The field program connects the theoretical and conceptual contributions of the classroom and field settings.

Center for Rural Social Work Research and Development

- The School of Social Work developed partnership with agencies in the region from 1979, while the Center was formally established in 2010.
- The School and Center secured approximately $10 million in grant, research end endowment funding.
- Partnerships includes Houston Endowment, Hogg Foundation for Mental Health, T.L. L Temple Foundation, Episcopal Health Foundation, Health Resources & Service Administration (HRSA) and Substance Abuse and Mental Health Service Administration (SAMHSA).
- Child Welfare Professional Development Project provide stipends to eligible students at $5000 per year and contributes to CPS workforce, provides conferences, training and workshops for foster parents.

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:

Safety and Security Audit
Conflicts of Interest Audit
Business Office Cash Count
Annual Risk Assessment
Quality Assurance Review Self-Assessment
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:

Love Advertising, Inc.
Symmetry Sports, LLC
Texas General Land Office acting through Cavallo Energy Texas, LLC

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
April 10, 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: *Love Advertising, Inc.*

Description of Contract: Digital advertising services

Vendor Awarded Contract: Love Advertising, Inc.

Procurement Method: Request for Proposal #Media Buy-21

Department Responsible for Contract: University Marketing Communications

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $250,000.00

Total Estimated Aggregate Amount: $1,250,000.00

Contract Period: 1/3/2022-1/02/2027

Board Approved: November 2021

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254

Vendor contract: *Symmetry Sports, LLC*

Description of Contract: Athletic turf replacement at Homer Bryce Stadium. Subsequent amendment in the amount of $76,150 to add 1.5" of Type D asphalt to entire track and extend delivery date to 1/31/22.

Vendor Awarded Contract: Symmetry Sports, LLC

Procurement Method: Cooperative Contract-The interlocal Purchasing System (TIPS)

Department Responsible for Contract: Physical Plant

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $76,150.00

Total Estimated Aggregate Amount: $1,346,950.00

Contract Period: 6/01/2021-1/31/2022

Board Approved: April 2021

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254

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. Subsequent amendment to extend to 12/31/23.

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: $18,270,705.01

Contract Period: 9/1/2017-12/31/2023

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

Summary of Contracts

Stephen F. Austin State University

Summary of Contracts

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

Finance Committee -April 10, 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
Digital advertising services in accordance with RFP#Media Buy-21, opened 10/6/2021, and agreement dated 01/03/2022.	Love Advertising, Inc.	Request for Proposal	UMC	None	$ 250,000.00	$ 1,250,000.00	1/03/2022 - 1/02/2027	November 2021
Athletic turf replacement at Homer Bryce Stadium project-includes replacement of the Homer Bryce Stadium football field artificial turf and the Fletcher Garner track. Subsequent amendment in the amount of $76,150 to add 1.5" of Type D asphalt to entire track and extend delivery date to 1/31/22.	Symmetry Sports, LLC	Cooperative Contract-The Interlocal Purchasing System	Physical Plant	None	$ 76,150.00	$ 1,346,950.00	6/01/2021- 1/31/2022	April 2021
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. Subsequent amendment to extend 16 months to 12/31/23.	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	$ 18,270,705.01	9/1/2017-12/31/2023	Dec 2012 (Electricity contract authorization)

GRANT AWARDS

Explanation:

For fiscal year 2022, the multi-year grant award total is currently $81,396,542. Of this total, grant awards allocable to fiscal year 2022 are currently $28,119,930, an increase of $196,198 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 $196,198. The grant awards are detailed as presented.

Report to the Board of Regents – April 2022
Grants[1] awarded between and January 1, 2022 and March 15, 2022

Fiscal Year 2022 – *as of March 15, 2022*

Amounts allocable to FY22 (detailed in this report)	
Federal funds (direct and pass-through)	$ 94,998
State Funds (direct and pass-through)	$ 51,000
Private and Local Government	$ 50,200
TOTAL	**$ 196,198**
New awards, FY22 (detailed in this report, all project years)	**$ 152,245**
Cumulative amount allocable to FY22	**$28,119,930**
Cumulative award total FY22, all project years	**$81,396,542**
Federal Financial Aid Funds *(not included in ORGS totals)*	*$ 9,834,534*

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

Federal Funds (direct and pass-throughs)

Title **** Continuation of the Attoyac Bayou Watershed Protection Plan Implementation, Phase II***
Sponsor: Texas AgriLife Research (prime: Texas State Soil & Water Conservation Board from US Environmental Protection Agency)
Award Term: November 22, 2021 to November 30, 2024
PI/PD: Dr. Matthew McBroom, Forestry
Total Award: $67,694 **Amount Allocable to FY22**: $33,847
New research award to continue the watershed protection plan development for the Attoyac Bayou. Funds provided for graduate student.

Title **** Stephen F. Austin State University Campus and Community Citizens Police Academy***
Sponsor: US Department of Justice
Award Term: September 1, 2021 to August 31, 2022
PI/PD: Whitney Mask, University Police Department
Total Award: $38,849 **Amount Allocable to FY22**: $38,849
Funds provided for a citizens' police academy to bring together students, staff, faculty, as well as Nacogdoches County residents. These academies will showcase campus police duties, activities, and policies with speakers and hands-on activities.

**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 – April 2022
Grants[1] awarded between and January 1, 2022 and March 15, 2022

Title **** 2021 Relief Grant for Stone Fort Museum***
Sponsor: Humanities Texas (prime: American Rescue Plan - National Endowment for the Humanities)
Award Term: September 1, 2021 to December 31, 2022
PI/PD: Carolyn Spears, Stone Fort Museum
Total Award: $9,547 **Amount Allocable to FY22**: $9,547
This grant will help fund student workers at the Stone Fort Museum whose budget was negatively impacted with the university and state budget cuts.

Title **** 2021 Relief Grant for East Texas Research Center: Transcribing Historic Records***
Sponsor: Humanities Texas (prime – American Rescue Plan - National Endowment for the Humanities)
Award Term: September 1, 2021 to December 31, 2022
PI/PD: Linda Reynolds, Ralph W. Steen Library
Total Award: $7,755 **Amount Allocable to FY22**: $7,755
This grant will fund student workers in the East Texas Research Center who will work on transcribing 19th and 20th century oral histories.

Title **** Open Education Resources (OER) Course Development and Implementation Grant***
Sponsor: Texas Higher Education Coordinating Board (prime: Governor's Emergency Education Relief - US Department of Education)
Award Term: August 13, 2021 to August 31, 2022
PI/PD: Dr. James Van Kley, Biology
Total Award: $5,000 **Amount Allocable to FY22**: $5,000
Dr. James Van Kley will receive grant funds for his summer salary to teach a Biology 1308 course integrating the Open Educational Resources textbook. This OER textbook and supplemental materials are provided free to the students.

***Subtotal Federal Amounts Allocable to* FY22 *(this report)* = $ 94,998**
***Subtotal New Federal Awards* (*total award*) = $ 128,845**

**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 – April 2022
Grants[1] awarded between and January 1, 2022 and March 15, 2022

***Federal Financial Aid Funds* (not included in ORGS totals)**
Agency: Department of Education
Manager: Rachele Garrett, Financial Aid

Additional funds for the below:

PELL Grants	FY22 Funds	$9,693,070
TEACH, graduate	FY22 Funds	$ 8,000
TEACH, undergraduate	FY22 Funds	$ 133,464

State Funds (direct and pass-through)

Previously Described Awards:
Repatriation of Illegally Collected Alligator Snapping Turtles back into Texas Waters
Dr. Chris Schalk, Forestry
Award Total: $95,000 ***Amount allocable to FY22:** $50,000

****Peers against Tobacco Program – FY22***
Jessica Waguespack, Campus Recreation
Award Total: $1,000 **Amount allocable to FY22:** $1,000

***Subtotal State Amounts Allocable to* FY22 *(this report)* = $51,000**
***Subtotal New State Awards (total award)* = $96,000**

**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 – April 2022
Grants[1] awarded between and January 1, 2022 and March 15, 2022

Private Entity and Local Government Awards

Title **** Assessing Drivers of Long-Term Population Declines I Game and Non-Game Wildlife Species***
Sponsor: Rob and Bessie Welder Wildlife Foundation
Award Term: January 1, 2022 to December 31, 2022
PI/PD: Dr. Jessica Glasscock, Forestry
Total Award: $14,700 **Amount Allocable to FY22**: $14,700
Research funds provided for graduate student thesis project.

Title **** American Society for Biochemistry and molecular Biology (ASBMB) Student Chapter Inaugural Scientific Outreach***
Sponsor: American Society for Biochemistry and Molecular Biology
Award Term: November 24, 2021 to August 31, 2022
PI/PD: Dr. Odutayo Odunuga, Chemistry
Total Award: $500 **Amount Allocable to FY22**: $500
Funds provided for the ASBMB student chapter to develop a STEM outreach event for high school students to increase their interest in STEM fields.

Previously Described Awards:
Tallow Control on the Greens Bayou Wetlands Mitigation Bank, Phase II
Dr. Jeremy Stovall, Forestry
Award Total: $60,000 ***Amount allocable to FY22:** $30,000

Henderson Wildlife Research Institute Support
Dr. Jessica Glasscock, Forestry
Award Total: $21,099 ***Amount allocable to FY22:** $5,000

***Subtotal Private and Local Amounts Allocable to* FY22 *(this report)* = $50,200**
***Subtotal New Private and Local Awards (total award)* = $57,400**

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.

ON-CAMPUS RESIDENTIAL WIRELESS SERVICE AND UPGRADE

Explanation:

In Fall 2021, the Division of Student Affairs in conjunction with Information Technology Services (ITS) and Procurement and Property Services conducted a Request for Proposals (RFP) to collect, investigate, and assess financial proposals for the potential outsourcing of on-campus residence hall wireless upgrades and services.

Through the RFP process, the committee determined that completing the work internally through ITS was the best value and approach. Options were reviewed to pay for this expense, and it was determined that utilizing the auxiliary fund balance was the best approach. Revenue would be allocated from Campus Living, Dining, and Auxiliary Services, a unit within the Division of Student Affairs, to replenish the auxiliary fund balance from this expense.

Recommendation:

The administration recommends approval of the residence life wireless network upgrade project at a cost not to exceed $3,200,000. The source of funds is auxiliary fund balance. The administration further recommends authorization to sign associated purchase orders and contracts as necessary.

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:

Distribution of Payroll 12.3
Facilities and Administration (Indirect) Cost Recovery, Distribution and Use 8.5
Family and Medical Leave 12.9
Fixed Amount Awards 8.12
Institutional Reserves Fund 3.19*
Lumberjack Education Assistance Program 12.5 **-- TABLED**
Payment Card Acceptance and Security 14.8
Receipts and Deposits 3.26
Student Accounts Receivable 3.28*
Travel 3.29

*Note: Change includes a change to the policy name.

3.19 – Institutional Reserves
3.28 – Student and Non-student Accounts Receivable

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Distribution of Payroll

Policy Number: 12.3

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

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): University employees are paid monthly or semi-monthly for work done in the previous month. It is SFA's intent to pay all employees by direct deposit. However, if an employee has not authorized direct deposit, a payroll check will be produced and should be picked up at the Business Office.

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: The content of this policy is procedural in nature and it is recommended that the policy be removed and included in procedure.

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Kay Johnson, Executive Director of Finance and Adminstrative Services
Damon Derrick, General Counsel

~~Distribution of Payroll~~

~~**Original Implementation:** Unpublished~~
~~**Last Revision:** April *11*30, 202219~~

~~Purpose~~

~~This policy establishes when and how university employees will be paid.~~

~~General~~

~~University employees are paid monthly or semi-monthly for work done in the previous month. It is SFA's intent to pay all employees by direct deposit. However, if an employee has not authorized direct deposit, a payroll check will be produced and should be picked up at the Business Office.~~

~~Payroll Schedule~~

~~Salaried employees are paid on the first day of the month. Hourly employees are paid on the 1st and 15th of the month. If the 1st or 15th falls on a weekend or holiday, employees are paid on the first working day following the weekend or holiday.~~

~~Form of Payment~~

~~Direct deposits can be made electronically to any financial institution that accepts electronic transfers. The employee may designate more than one institution and more than one account per institution. It is the employee's responsibility to verify that their pay has been properly deposited into their account(s). Direct deposits will be inactivated after an employee terminates employment at the university and the final payroll has been issued.~~

~~If an employee has not authorized direct deposit, a payroll check will be produced. Payroll checks are released at the Business Office at 11:00 a.m. on paydays. Picture identification is required of the employee picking up his/her payroll check.~~

~~Release of payroll check to another person~~

~~An employee wishing to have his/her payroll check released to another individual must provide that individual with signed authorization. The authorization must be presented to the Business Office, along with picture identification of both the employee and the person obtaining the check.~~

~~The employee's identification must also include a sample of the employee's signature, which can be compared with the signed authorization (e.g., a state driver's license).~~

~~Mailing of payroll check~~

~~An employee wishing to have his/her payroll check mailed must provide a signed authorization and self-addressed stamped envelope to the Business Office. The check will be mailed on the payday.~~

~~Lump Sum Payment of Accrued Vacation Time and/or Compensatory Time~~

~~Payment of accrued vacation time and/or compensatory time is made when an eligible employee resigns, is dismissed, or otherwise separates from state employment. Exempt employees receive payment for accrued vacation but not compensatory time. Non-exempt employees receive payment for both accrued vacation and compensatory time. These final payments are considered non-salary payments and may be reduced by any amounts due the university.~~

~~When an employee moves from a non-exempt to an exempt position, the employee is paid for any accrued compensatory time that was earned at the rate of 1-1/2 times the employee's regular rate of pay. Any accrued compensatory time that was earned at the employee's regular rate of pay will be carried forward to the exempt position.~~

~~Cross Reference:~~ ~~None~~

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

~~Contact for Revision:~~ ~~Controller~~

~~Forms:~~ ~~Direct Deposit Authorization Form~~

~~Board Committee Assignment:~~ ~~Finance and Audit~~

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Facilities and Administration (Indirect) Cost Recovery, Distribution and Use

Policy Number: 8.5

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): Grants related policy in regards to indirect costs of grants.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor updates.

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

Facilities and Administrative (Indirect) Cost Recovery, Distribution and Use

Original Implementation: October 26, 1999
Last Revision: ~~January 29, 2019~~*April 11, 2022*

Facilities and administrative (F&A) costs, also known as indirect costs (IDC) are expenses that cannot be directly charged or easily allocated to a specific externally sponsored grant, contract, or other sponsored agreement (grant). Examples of F&A costs include facilities expenses such as utilities, custodial services, and physical plant; and administrative expenses such as salaries and operating costs for departments such as human resources, the controller, payroll, accounts payable, legal counsel, procurement/property services, travel, technology services, library, audit services, and sponsored projects. They may also include departmental and college administrative costs such as clerical support, telephone, and copying.

F&A cost rates are negotiated by the university with a federal cognizant agency, which for SFA is the Department of Health and Human Services. In accordance with 2 C.F.R.§ 200.414(c), federal agencies must accept these negotiated rates unless a different rate is required by regulation, statute, or program.

F&A Cost Recovery

The principal investigator (PI) or project director (PD) must include F&A cost rates in a proposed budget for all grants and will use the university's full, federally negotiated F&A rate unless a sponsor has a formal, written policy that specifically limits or disallows payment of F&A costs.

In extraordinary circumstances, a PI/PD may request a reduction of F&A costs. As such a reduction is a financial loss to the university, all reduction requests must be approved by the provost and vice president for academic affairs~~,~~ and the vice president for finance and administration before a budget with a reduced F&A rate is submitted to a sponsor for consideration. This applies to all forms of grants, contracts, and other sponsored agreements (grants). Failure to comply may require a budget revision and/or renegotiation of a grant and may jeopardize or delay receipt of an award. A PI/PD is not authorized to negotiate an F&A rate reduction with a sponsor.

Recovered F&A Distribution and Use

Recovered F&A is subject to the provisions of the Texas Education Code, Section 145.001: "The retained funds are subject to the following requirements:

(1) The funds shall be expended under guidelines approved by the institution's governing board for projects encouraging further research at the unit, agency, or department level at which the research was conducted, including:

(A) conducting early pre-grant feasibility studies;

(B) preparing competitive proposals for sponsored programs;
(C) providing carryover funding for research teams to provide continuity between externally funded projects;
(D) supporting new researchers pending external funding;
(E) engaging in research programs of critical interest to the general welfare of the citizens of this state;
(F) purchasing capital equipment directly related to expanding the research capability of the institution; and
(G) research or project administrative costs; and

(2) the funds remaining after the application of Subdivision (1) shall be used by a general academic teaching institution or a medical or dental unit to support research as approved by a general academic teaching institution or a medical or dental unit."

If a project includes the full F&A rate as allowed by the sponsor, the academic units that generate the recovered F&A costs will receive a portion of the F&A recovered in a fiscal year. The university retains 55% of recovered F&A for university expenses with the remainder distributed based on a formula recommended by the University Research Council and approved by the provost and *executive* vice president for academic affairs. If an F&A rate reduction was granted for a project, the amount recovered from that project will be excluded from the distribution formula. The distributions are made after the close of each fiscal year based on F&A costs recovered the previous fiscal year. Reports summarizing the use of these funds must be submitted to the ~~controller's office~~*Office of Financial Reporting* annually. The administrative cost allowance generated by financial aid programs is not considered in the distribution formula.

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

Cross Reference: 2 C.F.R. §§ 200.56,.57,.306,.414; Tex. Educ. Code § 145.001; ORGS Grants and Contracts Procedures Manual

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

Contact for Revision: Dean, Office of Research and Graduate Studies

Forms: Facilities and Administration (F&A/Indirect Cost, IDC) Reduction Request

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Family and Medical Leave

Policy Number: 12.9

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 explains who is eligible for family and medical leave and defines related terms. It also provides information for employees who may need to request family and medical leave.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording changes for consistency within the policy.

Reviewers:

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

Family and Medical Leave

Original Implementation: August 5, 1993
Last Revision: April *11*~~30~~, 202*2*~~19~~

Purpose

This policy explains who is eligible for family and medical leave and defines related terms. It also provides information for employees who may need to request family and medical leave.

Definitions

Applicable Paid Leave - Sick leave and vacation accruals.

Spouse - Those recognized as spouses by the *S*~~s~~tate of Texas.

Parent - Includes biological parents and individuals who act as the employee's parents, but does not include parents-in-law.

Child/Son or Daughter - Legally recognized, including biological, adopted, foster children, stepchildren, and legal wards, who are under eighteen (18) years of age or eighteen (18) years of age or older and incapable of self-care because of mental or physical disability. For purposes of qualifying exigency leave, an employee's son or daughter on covered active duty refers to a child of any age.

Serious Health Condition - Any illness, injury, impairment, or physical or mental condition that involves: (1) any incapacity or treatment in connection with inpatient care; (2) any incapacity or treatment requiring absence of more than three calendar days and continuing treatment by a health care provider; or, (3) continuing treatment by a health care provider of a chronic or long- term condition that is incurable or will likely result in incapacity of more than three days if not treated.

Continuing Treatment - Includes: (1) two or more treatments by a health care provider; (2) two or more treatments by a provider of health care services (i.e., physical therapist) on referral by or under orders of a health care provider; (3) at least one treatment by a health care provider which results in a regimen of continuing treatment under the supervision of the health care provider (i.e., a program of medication or therapy); or, (4) under the supervision of, although not actively treated by, a health care provider for a serious long-term or chronic condition or disability which cannot be cured (i.e., Alzheimer's or severe stroke).

Health Care Provider - Includes: licensed medical (MD) and osteopathic (OD) doctors, podiatrists,

dentists, clinical psychologists, optometrists, chiropractors authorized to practice in the State, nurse practitioners and nurse-midwives authorized under state law, and Christian Science practitioners.

Needed To Care For - Encompasses: (1) physical and psychological care for a family member; and, (2) where the employee is needed to fill in for others providing care or to arrange for third party care of the family member.

Unable to Perform the Functions of the Employee's Job - Describes when an employee is (1) unable to work at all; or, (2) unable to perform any of the essential functions of ~~his/her~~*their* position. The term "essential functions" is borrowed from the Americans with Disabilities Act (ADA) to mean "the fundamental job duties of the employment position," and does not include the marginal functions of the position.

Qualifying Exigencies - Describes situations arising from the military deployment of an employee's spouse, son, daughter, or parent to a foreign country. Qualifying exigencies for which an employee may take FMLA leave include issues arising from the military member's short notice deployment; or making alternative child care arrangements —for a child of the military member when the deployment of the military member necessitates a change in the existing child care arrangement; attending certain military ceremonies and briefings; attending counseling for the employee, the military member, or the child of the military member; or taking leave to spend time with a military member on Rest and Recuperation leave —during deployment; or making financial or legal arrangements to address a covered military member's absence; or certain activities related to care of the parent of the military member while –the military member is on covered active duty; or any other event that the employee and employer agree is a qualifying exigency.

Short Notice Deployment - ~~d~~*D*eployment within seven or less days of notice.

Covered Servicemember - A current member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness. "Covered servicemember" also includes veterans discharged under conditions other than dishonorable within the five-year period before you first take military caregiver leave to care for that veteran. A serious injury or illness is one that is incurred by a servicemember in the line of duty on active duty that may cause the servicemember to be medically unfit to perform the duties of ~~his/her~~*their* office, grade, rank, or rating. A serious injury or illness also includes injuries or illnesses that existed before the servicemember's active duty and that were aggravated by service in the line of duty on active duty.

General

Employees are eligible to take family~~/~~ *and* medical leave within any 12-month period and be restored

to the same or an equivalent position upon return from leave, provided that the employee has worked for the ~~s~~state of Texas for at least twelve (12) months and for at least 1,250 hours within the previous twelve (12) month period. Leave without pay may begin after all available applicable paid leave has been exhausted and will be included in the twelve (12) weeks of Family and Medical Leave Act (FMLA) time. Applicable Sick Leave Pool benefits, donated sick leave, and leave resulting from Workers' Compensation claims (See Workers Compensation Coverage, Policy 12.23) will be included in the twelve (12) week period.

Reasons for Family *and* ~~/~~Medical Leave

Eligible faculty and staff may take up to 12 workweeks of leave in a 12-month period of family *and* ~~/~~medical leave for any of the following reasons:

1. The birth of a child or placement of a child with the employee for adoption or foster care;
2. To care for a spouse, child, or parent who has a serious health condition;
3. For a serious health condition that makes the employee unable to perform the essential functions of his or her job; or
4. For any "qualifying exigency" arising out of the fact that a spouse, son, daughter, or parent is a military member on covered active duty or has been notified of an impending call to covered active duty status.

Eligible faculty and staff may take up to 26 workweeks of leave in a 12-month period of family and medical leave for the following reason:
~~An eligible employee may also take up to 26 workweeks of leave during a single 12-month period t~~*T*o care for a covered servicemember with a serious injury or illness, when the employee is the spouse, son, daughter, parent, or next of kin of the servicemember.

For purposes of FMLA, a rolling twelve (12) month period will be measured backward from the date leave begins.

Leave because of birth of a child or placement of a child with the employee for adoption or foster care must be completed within the twelve (12) month period beginning on the date of birth or placement. An employee is allowed to use sick leave for the period of time that is certified by the physician to recover from childbirth. An employee may take additional time off before returning to work requesting up to 12 weeks of leave for the birth or placement of a child under FMLA. However, the employee may not use sick leave for ~~-~~the remaining time unless the employee or the child is actually sick. In addition, spouses employed by Stephen F. Austin State University who request leave because of these reasons or to care for an ill parent may only take a combined total of twelve (12) weeks during any twelve (12) month period.

Sick leave may be used in conjunction with FMLA leave when a child under the age of three is adopted regardless of whether the child is actually sick at the time of adoption. Furthermore, an employee, who is the father of a child, may use his sick leave in conjunction with the child's birth only if the child is actually ill, or to care for his spouse while she is recovering from labor and delivery.

Employees with less than 12 months of state service and/or less than 1,250 hours of work in the 12 months immediately preceding the start of leave are entitled to a parental leave of absence, not to exceed 12 weeks (480 hours). The employee must first use all available and applicable paid vacation and sick leave while taking parental leave prior to going on leave without pay. Such parental leave may only be taken for the birth of a natural child or the adoption or foster care placement with the employee of a child under three years of age. The leave period begins with the date of birth or the adoption or foster care placement.

Notice of Leave

If the need for family *and* /medical leave is foreseeable, the employee must give thirty (30) days prior written notice. If this is not possible, the employee must give notice within one to two working days of learning of the need for leave or as soon as practicable. Failure to provide such notice may be grounds for delay of leave. Where the need for leave is not foreseeable, the employee is expected to notify the supervisor and Human Resources within 1 to 2 working days of learning of the need for leave, except in extraordinary circumstances. Requests for Family *and* /Medical Leave forms are available from Human Resources. Employees should use these forms when requesting leave.

Medical Certification

If an employee is requesting leave because of their own or a covered relation's serious health condition, the employee and the relevant health care provider must supply appropriate medical certification. Medical Certification Forms may be obtained from Human Resources. The form must be returned to the director of human resources or a designated leave administrator within fifteen (15) days after the date leave is requested. Failure to provide requested medical certification in a timely manner may result in denial of leave until the certification is provided. The university, at its expense, may require an examination by a second health care provider designated by the university. If the second health care provider's opinion conflicts with the original medical certification, the university, at its expense, may require a third, mutually agreeable, health care provider to conduct an examination and provide a final and binding opinion. The university may require subsequent medical re-certification on a reasonable basis.

Reporting While on Leave

If an employee takes FMLA *leave* because of a personal serious health condition or to care for a covered

relation, the employee must contact the supervisor at least once each week, or as often as requested by the supervisor, regarding the status of the condition and the intention to return to work. The supervisor is responsible for reporting this information to the leave administrator. Additionally, the employee is required to call Human Resources on the 1st and 3rd Monday of each month during their leave to report their leave and/or return to work status. Failure to communicate with the supervisor and Human Resources on the approved reporting schedule may result in denial of leave.

Leave Is Unpaid

Family *and* ~~/~~medical leave is unpaid leave after vacation, sick and all other applicable leaves have been exhausted. Employees may apply for sick leave from the Sick Leave Pool, which, if approved, will be included within the FMLA period. Employees may be eligible for short or long-term disability payments and/or workers' compensation benefits under the provisions of those plans. This leave time will also be included in the twelve (12) week period of FMLA. The use of applicable paid leave time does not extend the twelve (12) week leave period.

Medical and Other Benefits

During an approved family *and* ~~/~~medical leave, the university will maintain the state contribution for the employee's health benefits as if the employee continues to be actively employed. During periods of paid FMLA leave, the university will deduct the employee's portion of the insurance premiums as a regular payroll deduction. If the employee's FMLA leave is unpaid, the employee portion of the premium must be paid by the employee through the benefits ~~manager~~ *personnel* in Human Resources. The employee's insurance coverage will cease if the premium payment is more than thirty (30) days late. If the employee elects not to return to work at the end of the FMLA leave period, the employee will be required to reimburse the university for the cost of the premiums paid by the university for maintaining coverage during the leave, unless the employee cannot return to work because of a serious health condition or other circumstances beyond the employee's control. An employee on FMLA *leave* is not entitled to accrue state service credit for any full calendar months of leave without pay taken while on FMLA *leave* and does not accrue vacation or sick leave for such months of leave without pay.

Intermittent and Reduced Schedule Leave

Leave because of a serious health condition may be taken intermittently (in separate blocks of time due to a single health condition) or on a reduced leave schedule (reducing the usual number of hours worked per workweek or workday), if medically necessary. A reduced schedule is subject to availability depending on the business need of the department or the university. If leave is unpaid, the university will reduce the employee's salary based on the amount of time actually worked. In addition, while the employee is on an intermittent leave or reduced schedule, the university may temporarily transfer the employee to an alternative position which better accommodates recurring leave and which has

equivalent pay and benefits.

Returning From ~~-~~Leave

If the employee takes leave because of a personal serious health condition, the employee is required to provide ~~medical certification~~*a release to return to work* to their supervisor and the leave administrator that *states that* the employee is fit to resume work. *An example of a* ~~R~~*release to r*eturn to *w*~~W~~ork ~~Medical Certification Forms~~ may be obtained from Human Resources. Employees failing to provide ~~the Return to Work Medical Certification Form~~*an acceptable release to return to work* will not be permitted to resume work until it is provided.

Cross Reference: The Family and Medical Leave Act of 1993 (FMLA), 29 C.F.R. § 825; Tex. Gov't Code § 661.912; Workers Compensation Coverage (12.23)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Family *and ~~/~~*Medical Leave Request for Leave Form, Certification of *Health Care Provider for Employee's Serious Condition under the Family and Medical Leave Act, Certification of Health Care Provider for Family Member's Serious Health Condition under the Family and Medical Leave Act, Certification for Serious Injury or Illness of a Current Servicemember for Military Caregiver Leave under the Family and Medical Leave Act, Certification for Military Family Leave for Qualifying Exigency under the Family and Medical Leave Act*~~Physician or Practitioner Form,~~*, Family and Medical Leave Certification of Placement/Bonding Leave Due to Adoption or Foster Care.* ~~Family/Medical Leave Return to Work Medical Certification Form~~

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Fixed Amount Awards

Policy Number: 8.12

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

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

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

Purpose of Policy (what does it do): Grants related policy in regards to pricing that is agreed to in advance rather than actual costs incurred while conducting the work.

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

Fixed Amount Awards

Original Implementation: July 28, 2015
Last Revision: ~~January 29, 2019~~*April 11, 2022*

Fixed amount awards, also known as fixed-price agreements, are awards in which a price is agreed to in advance for a specific scope of work that is payable based on performance and deliverables rather than the actual costs incurred during the conduct of the work.

Fixed amount awards may include grants, cooperative agreements, contracts, research agreements, and subawards (grants) from federal and non-federal sources to the university, as well as fixed amount subawards from the university to a subrecipient.

Fixed Amount Awards to the University

A fixed amount award to the university should reflect an accurate estimate of anticipated direct costs for the efficient and effective conduct of the project plus the university's full federally negotiated facilities and administrative (F&A, indirect) cost rate. The Principal Investigator/Project Director (PI/PD) is responsible for ensuring that a fixed amount award is accurately estimated.

The Office of Research and Graduate Studies (ORGS) requires an internal operating budget for fixed amount awards and awarded funds must be used during the term of the agreement in support of the specific statement of work. The PI/PD is responsible for charging all appropriate operating expenses to the award, including salary and associated benefits at a level commensurate with the effort committed to the project.

In the event ~~that~~ there is a negative balance at the conclusion of a fixed amount award project, the managing administrative unit is responsible for covering the shortage from an appropriate source of funds.

In the event a residual balance remains after all allocable expenses have been recorded to the project fund, the following processes apply:

<u>Non-Federal Awards</u>

1. The PI/PD will certify that the sponsor has accepted all required deliverables, the ~~controller's office~~*Office of Financial Reporting* will confirm that the sponsor has made final payment. If the remaining balance exceeds $500, the full federally-negotiated F&A rate will be charged against the award. Any residual balance should be no more than 20% of the original award.

2. If the residual balance is less than 20% of the original award (up to $10,000 or 25% of the residual balance, whichever is less) then the amount is transferred to a fixed-price residual

(FPR) fund for the PI/PD, or into an FPR fund established for a university-recognized center. The remaining balance, in excess of 25% or $10,000, is transferred to a designated fund pool to be used in support of research and development.

If the residual balance exceeds 20% of the original award, the sponsor is contacted to determine the disposition of the balance. If the sponsor allows residual amounts to be retained by the university, the amounts are distributed as described above.

If the residual balance is $500 or less, the entire amount may be transferred to the individual PI/PD ~~Fixed-Price Residual~~*FPR* Fund.

3. Fixed-price residual funds must be used for on-going research activities or to support the goals and objectives of the PI, PD, or center, in accordance with state and university regulations, policies, and procedures.

Federal Awards

1. For fixed amount awards originating from federal sources, there should be ~~"~~no increment above actual cost~~" [2 C.F.R. § 200.201(b)(1)]~~.

2. The university must certify in writing to the federal agency or pass-through entity that the project was completed or the level of effort expended.

3. If ~~both of the above~~ requirement #2~~s~~ cannot be met, the amount of the award must be adjusted [2 C.F.R. § 200.201(b)(3)].

Fixed Amount Awards from the University

The amount of a fixed amount award to a subrecipient from the university should reflect an accurate estimate of anticipated costs for the efficient and effective conduct of the project. ORGS may require a budget detail and justification from a potential subrecipient.

Fixed amount subawards from federal sources are allowable with prior written approval from the federal awarding agency in an amount up to $150,000 [2 C.F.R. § 200.88, .332]. Such awards are subject to the terms and conditions detailed in 2 C.F.R. § 200.201(b).

Cross Reference: 2 C.F.R. §§ 200.45, .88, .201, .332; Grants and Contracts Procedures Manual

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

Contact for Revision: Dean of Research and Graduate Studies

Forms: Fixed Amount Award Close-out Certification Form; Fixed Amount Award Close-out Form

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Institutional Reserves Fund

Policy Number: 3.19

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 guidelines for the university's institutional reserves. Appropriate institutional reserves help maintain financial strength, provide the foundation for debt management and issuance, protect against volatility in revenue and expenditures, and allow flexibility in planning for the needs 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:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: New name and updates 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

Institutional Reserves ~~Fund~~

Original Implementation: July 13, 2006
Last Revision: April *11*~~30~~, 20*22*~~19~~

Purpose

This policy establishes guidelines for the university's institutional reserves ~~fund~~. ~~An~~ *A*~~a~~ppropriate institutional reserves ~~fund~~ help~~s~~ maintain financial strength, provide~~s~~ the foundation for debt management and issuance, protect~~s~~ against ~~external~~ volatility *in revenue and expenditures*, and allow~~s~~ flexibility in planning for the needs of the university.

Definitions

I~~The~~ institutional reserves ~~**fund**~~ refers to resources that are not allocated to any specific unit of the university, but are held centrally within the university's financial system. Additions to ~~the~~ institutional reserves ~~fund balance~~ include revenues that exceed expenditures. Deductions include the use of reserves to fund *items not included in the operating budget; planned uses of reserves for the operating budget; and* ~~capital budgets, construction projects, and~~ unanticipated institutional requirements. ~~–~~*Institutional reserves are represented in the Statement of Net Position as Unrestricted Net Position (UNP).*

General

The purpose of ~~an~~ institutional reserves ~~fund~~ is to provide contingent support for potential significant financial occurrences, including:

- strategic capital projects,
- unanticipated or uninsured catastrophic events,
- temporary institutional revenue shortfalls or expenditure gaps,
- unforeseen legal obligations and costs,
- failures in central infrastructure,
- failures of major business systems.

Institutional Reserves ~~Fund~~ Budgeting

The university may augment institutional reserves as a budget practice during periods of revenue growth and stability. During periods that revenue support is needed, the university may utilize institutional reserves.

Institutional Reserves ~~Fund Size~~*Target*

The *university utilizes the primary reserve ratio to* target *the* amount of reserves that ~~an institution~~*should be* ~~should~~ maintain*ed*. ~~is determined using a calculation called the primary reserve ratio.~~ The ratio is calculated *according to higher education industry standards* ~~by dividing expendable net assets by total expenses, net of depreciation and~~

~~amortization*Governmental Accounting Standards Board ()ment*. The higher education industry target~~ *and the target* benchmark ~~for the primary reserve ratio is .40. Consequently, an institution's target reserves fund goal should be~~*is* 40% of its annual operating budget, thus providing approximately five months of operational capacity.

At the end of each fiscal year, the primary reserve ratio calculation will be used to evaluate the institutional reserves~~ fund and target. The~~ *, and* information will be reported to the Board of Regents with the Annual Financial Report.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

TABLED

POLICY SUMMARY FORM

Policy Name: Lumberjack Education Assistance Program

Policy Number: 12.5

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

Date of last revision, if applicable: 4/18/2020

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

Purpose of Policy (what does it do): This policy permits active, regular (100% FTE) employees of the university, their spouses, and dependents to participate in the Lumberjack Education Assistance Program (LEAP) provided eligibility requirements are met.

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: Graduate assistants removed, definitions added and text updates for clarification.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Lumberjack Education Assistance Program

Original Implementation: January 28, 2003
Last Revision: April 1*1*~~8~~, 2022~~0~~

Purpose

This policy permits active, regular (100% FTE) employees of the university, their spouses, and dependents~~, as well as certain graduate assistants~~ to participate in the Lumberjack Education Assistance Program (LEAP) provided eligibility requirements are met.

Definitions

*An **eligible dependent is a child, stepchild, or qualified dependent meeting the definition of dependent under IRS regulations*** ~~*is an unmarried child or stepchild under age 25*~~ *of an active, regular (100% FTE) employee who has completed six months of continuous service for the university prior to the end of the enrolled semester.* ~~*Other related dependent children that were claimed as an exemption on the employee's most recent tax return are also be eligible.*~~

*An **eligible spouse** is an individual recognized by law as a spouse or common law spouse and meets insurance eligibility requirements set forth by the Employees Retirement System of Texas (ERS).*

*A~~n~~ **third~~outside~~ party or contract** is a sponsoring organization or agency who takes responsibility for paying a student's tuition and fee balance either in full or in part.*

***~~An o~~Outside scholarships** are provided by private donors, foundations, businesses, and other sources external to Stephen F. Austin State University.*

General

Detailed program and eligibility requirements can be found on the human resources website. The program is designed as an employee benefit initiative and is subject to available resources.

~~The~~ LEAP benefits appl~~ies~~y only to mandatory tuition and fee charges~~,~~ excluding statutory tuition. Statutory tuition, excessive hours tuition, 3-peat charges, and non-mandatory incidental fees are not covered by LEAP benefits.

LEAP benefits will not cover tuition and fees which are paid by a~~n~~ third~~outside~~ party or contract, or are covered by any other exemption or waiver.

LEAP benefits will not be reduced by PELL grant, FSEOG (federal supplemental educational opportunity grant) grant, outside scholarships or loans.

~~*Financial aid, other than outside scholarships, PELL, SEOG, and loans, will be applied before LEAP*.~~
Participation in the LEAP program requires maintaining a minimum cumulative GPA of 2.0 for undergraduate degree programs and a minimum cumulative GPA of 3.0 for graduate degree programs.

The university complies with federal and state tax regulations governing any applicable taxability, tax reporting, and/or withholding of taxes on LEAP benefits. The value of any tuition and fee benefits paid by LEAP above the annual IRS eligible amount will be treated as a taxable benefit to the employee.

Employees

Active, regular (100% FTE) employees become eligible for LEAP benefits when they have completed six months of continuous service for the university. The six-month period must be completed by the ~~census dat~~last day~~e~~ of the enrolled ~~semester~~term. If an employee retires from the university, or terminates for any other reason, LEAP eligibility will end on the last day of the enrolled term.
~~*or from courses or if an employeethe*~~

LEAP benefits will apply to eligible tuition and fee charges for up ~~Eligible employees may take up~~ to two courses (maximum 8 credit hours) per semester with supervisor approval. If departmental workload permits, an employee may attend one class during working hours by utilizing an alternative work schedule or by using accrued compensable leave. To be eligible for an alternative work schedule, an employee must request approval from the appropriate supervisor and director/dean for the time off to attend the class. Exceptions to the maximum semester load may be considered, but approval must be obtained from the employee's supervisor, director/dean, and appropriate member of the president's cabinet.

~~*If an employee retires from the university, or terminates for any other reason, LEAP eligibility will end on the last day of the enrolled term.*~~

~~*Participation in the LEAP program also requires maintaining a minimum cumulative GPA of 2.0 for undergraduate degree programs and a minimum cumulative GPA of 3.0 for graduate degree programs.*~~

~~*The university complies with federal and state tax regulations governing any applicable taxability, tax reporting, and/ or withholding of taxes on LEAP benefits. The value of any tuition and fee benefits paid by LEAP above the annual IRS eligible amount will be treated as a taxable benefit to the employee.*~~

~~Full-time employees and graduate assistants who meet specific eligibility requirements are *may be* permitted to take *one*a course during working hours. However, participation in the program *class attendance* does not supersede regular work responsibilities. If departmental workloads permits,~~

~~employees may *attend*take one course per semester of either three or four semester credit hours during *one class during* working hours *or by using accrued compensable leave*. */dean*An employee's supervisor must approve the time off for the class, and also approve make-up work arrangements for time missed. If work cannot be made up, an employee must turn in vacation or comp time for work time missed. Exceptions to the policy *may*will be considered, but approval must be obtained from the employee's supervisor*/dean* and appropriate vice president*member of the president's cabinet*.~~

Spouse/Dependents

Eligible employees may apply for LEAP benefits on behalf of their spouse/dependents ~~using the online application~~ when the employee ~~y~~becomes eligible as set forth by this policy. The LEAP ~~have completed six months of continuous service for the university. The spouse/dependent must accept the LEAP benefit online. LEAP~~ benefits may be applied to undergraduate or graduate courses that are part of the overall degree plan of the spouse/dependent so long as he/she meets the definition of spouse/dependent as set forth by this policy. Documentation may be required to determine spouse/dependent eligibility. ~~Statutory tuition, excessive hours tuition, 3-peat charges, and non-mandatory incidental fees are not covered by LEAP.~~

~~*If a spouse/dependent drops or withdraws from courses, or if the spouse/dependent no longer meets the definition of spouse/dependent, or if the eligible employee that applied for LEAP on behalf of the spouse/dependent terminates or retires prior to the census date of the enrolled term, the LEAP award will be adjusted or reversed as appropriate, and the spouse/dependent will be responsible for payment of tuition and fee charges according to the dates and deadlines schedule.*~~

If the eligible employee that applied for LEAP on behalf of the spouse/dependent retires from the university or terminates for any other reason, LEAP eligibility for the spouse/dependent will end on the last day of the enrolled term.~~,~~

~~*Participation in the LEAP program also requires maintaining a minimum cumulative GPA of 2.0 for undergraduate degree programs and a minimum cumulative GPA of 3.0 for graduate degree programs.*~~

~~*The university complies with federal and state tax regulations governing any applicable taxability, tax reporting, and/ or withholding of taxes on LEAP benefits. The value of any tuition and fee benefits paid by LEAP above the annual IRS eligible amount will be treated as a taxable benefit to the employee.*~~

~~The university complies with federal and state tax regulations governing any applicable taxability, tax reporting, and/or withholding of taxes on the Lumberjack Education Assistance Program. The value of any taxable tuition and fee benefits paid by the LEAP will be included as taxable income on the employee's annual Wage and Tax Statement (W-2) and will be subject to tax withholdings.~~

Cross Reference: ~~None~~*LEAP Requirements Document on the Human Resources Website*

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: *LEAP Application on mySFA*~~Employee Educational Assistance packet: http://www.sfasu.edu/hr/115.asp.~~

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Payment Card Acceptance and Security

Policy Number: 14.8

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 defines the requirements and responsibilities for maintaining compliance with the Payment Card Industry's Data Security Standard (PCI-DSS) at SFA. Achieving and maintaining Payment Card Industry (PCI) compliance mitigates the potential of data breaches and allows our departments and affiliated organizations (merchants) to take payment cards with a level of risk acceptable to the university. This policy is supplemental to any other information security policies currently in effect at the university.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: 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
Michaelyn Greene, Director of Treasury and Student Business Services
Damon Derrick, General Counsel

Payment Card Acceptance and Security

Original Implementation: July 21, 2009
Last Revision: April *11*~~20~~, 2022~~1~~

Purpose

This policy defines the requirements and responsibilities for maintaining compliance with the Payment Card Industry's Data Security Standard (PCI-DSS) at Stephen F. Austin State University (the university). Achieving and maintaining Payment Card Industry (PCI) compliance mitigates the potential of data breaches and allows our departments and affiliated organizations (merchants) to take payment cards with a level of risk acceptable to the university. This policy is supplemental to any other information security policies currently in effect at the university.

General

Stephen F. Austin State University takes steps to ensure full compliance with the PCI-DSS. All payment card handling activities and related technologies must comply with the PCI-DSS. Payment card handling activities must be conducted as described herein and in accordance with the guidelines in the Payment Card Security Handbook, maintained on the university's PCI website.

This policy will be reviewed at least annually and updated as needed to reflect changes to business objectives or the risk environment.

Applicability

~~This policy applies to all personnel who store, process, transmit, have access to, or can affect the security of payment card data, including faculty, staff, contractors, and students who are employed or utilized by the university.~~ *This policy applies to all faculty, staff, students, contractors, volunteers, and third-parties who store, process, transmit, have access to, or can affect the security of payment card data in physical or electronic format on behalf of or in association with the university~~SFASU~~. This includes any entity that utilizes any part of the university~~SFSU~~ network infrastructure for payment card transaction services.* This policy also applies to any employee who contracts with a third-party vendor to handle and/or process payment card data on behalf of the university. All vendors, contractors, and business partners who store, process, transmit, have access to, or can affect the security of payment card data on behalf of the university will state in their contract that they are and will remain compliant with the PCI-DSS at all times.

All computers, electronic devices, or other resources at the university used in payment card processing are governed by this policy and subject to PCI-DSS requirements. This includes but is not limited to workstations which are used to enter payment card information into a central system, cash registers, point-of-sale terminals connected to a phone line or the university network, printers, scanners, and any other devices through which the payment card data is transmitted or on which payment card data is stored. Also covered are website storefronts that redirect customers to another website to enter payment information. In addition, all paper forms or receipts containing cardholder data are also covered under this policy.

Responsibilities

The vice president for finance and administration is responsible for oversight of the PCI compliance program. The vice president for finance and administration will designate specific individuals who will have responsibility for the development, implementation, and administration of the program. These individuals will serve on the PCI Steering Committee and will assist the university in achieving and maintaining compliance with the PCI-DSS and in reducing the scope of items that will need to be compliant with the PCI-DSS.

The vice president for finance and administration will also designate program representative(s) who will review and approve all requests to accept payment cards, perform all necessary actions to ensure PCI compliance, and respond to any suspected payment card information threat.

University merchants will establish and maintain documented procedures for complying with this policy and the PCI-DSS and will follow guidelines established in the Payment Card Security Handbook.

Requirements

PCI-DSS compliance is mandatory for any department or affiliated organization that accepts, captures, stores, transmits, and/or processes payment card information. Only authorized and properly trained employees, vendors, or temporary employees may accept and/or access payment card information. Each person who has access to payment card information is responsible for protecting the information in accordance with the PCI-DSS and university policy.

Only PCI-DSS compliant equipment, systems, and methods may be used to process, transmit, and/or store payment card information. All equipment and systems used to process, transmit, and/or store payment card data must be approved by the designated program representative(s). Payment cards cannot be processed, transmitted, and/or stored using the university's network unless all technical controls required by the PCI-DSS and other applicable university policies are approved by the designated program representative(s).

University departments and affiliated organizations must obtain advance approval from the program representative(s) designated by the vice president for finance and administration before accepting payment cards for payment of goods or services, or before entering into any contracts or purchases of software and/or equipment related to payment card processing. Once approved, copies of contracts must be forwarded to the designated program representative(s). University departments and affiliated organizations are required to use the university's preferred service provider. Exceptions may be granted only after a request from the payment card processor has been reviewed and approved by the PCI Steering Committee. When an exception has been granted, the merchant remains responsible for ensuring the service provider is PCI compliant and providing ongoing certification of compliance to the designated program representative(s).

Cardholder data must not be transmitted or accepted in an insecure manner. Insecure methods of transmitting or accepting cardholder data include but are not limited to unencrypted wireless, email,

fax, and campus mail. Printed receipts or other physical materials containing cardholder information must be stored in a secure environment until they are processed. Payment card information must be destroyed in a secure manner as soon as it is no longer needed.

Credit card information must not be stored on any electronic device including university network servers, workstations, laptops, tablets, and cell phones-unless it is explicitly approved for use as part of the cardholder data environment.

Training

All personnel in positions that store, process, transmit, have access to, or affect the security of payment card data will complete PCI-DSS training upon hire and at least annually. These personnel will also acknowledge, in writing or electronically, that they have read, understand and will comply with these policies and procedures.

Incident Response

All security incidents, including suspected exposure or theft of payment card information, must be reported in accordance with university policy 1
4.14, Information Security Incident Response and Reporting. All PCI users should be familiar with this policy and are responsible for reporting any incident of theft, fraud, or misuse of payment card data.

Enforcement

Periodic reviews may be performed to validate compliance with this policy. If the requirements of this policy are not followed, suspension of payment card options may result. Substantial fines may also be imposed by payment card companies if a security breach and subsequent compromise of payment card data occurs.

Employees in violation of the PCI-DSS and this policy may be subject to a range of sanctions including loss of computer network access, disciplinary action or legal sanctions.

Cross Reference: PCI Security Standards; Payment Card Security Handbook; Receipts and Deposits (3.26); Information Security Management (14.1); Information Security Incident Response and Reporting (14.14); ITS Policy Handbook

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revisions: Vice President for Finance and Administration

Forms: Application for Exception from Use of University Preferred Electronic Payment Service, Statement of Intent to Comply with the University Policy for Payment Card Acceptance and

Security, Payment Card Processor Registration Form, Confidentiality Statement

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Receipts and Deposits

Policy Number: 3.26

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

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

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

Purpose of Policy (what does it do): This policy provides guidance for the internal control of receipt handling to all Stephen F. Austin State University (the university) departments who handle receipts and deposits. The university has delegated the authority and responsibility for maintaining procedures for all receipt-handling activities to the office of student business services. Note: The term "receipts," as referenced in this policy, is deemed to include currency, coins, personal checks, bank drafts, money orders, traveler's checks, cashier's checks, credit card transactions, debit card transactions, wire transfers, and any other method of receiving funds.

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: Organizational updates and removal of procedures from this policy.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Receipts and Deposits

Original Implementation: Unpublished
Last Revision: ~~January 29, 2019~~ *April 11, 2022*

Purpose

This policy provides guidance *for the internal control of receipt handling* to all Stephen F. Austin State University~~ (*the university*~~SFA~~)~~ departments *who* handl*e*~~ing~~ receipts and deposits. ~~The policy also encourages effective administration and internal control of receipt-handling operations throughout the university.~~ *The university has delegated the authority and responsibility for maintaining procedures for all receipt-handling activities to the office of student business services.* ~~Note: The term "receipts," as referenced in this policy, is deemed to include currency, coins, personal checks, bank drafts, money orders, traveler's checks, cashier's checks, credit card transactions, debit card transactions, wire transfers, and any other method of receiving funds.~~

Definitions

~~The c~~***C*****ustodian** is anyone who handles cash and receipts.

Receipts *as referenced in this policy, is deemed to include currency, coins, personal checks, bank drafts, money orders, traveler's checks, cashier's checks, credit card transactions, debit card transactions, wire transfers, and any other method of receiving funds.*

~~A r~~*R***efund** is the return of funds for a transaction that occurred on a prior business day.

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

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

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

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

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

Starter check is a non-personalized encoded check that a person receives from a bank when they establish a checking account. These are for the person's use prior to receiving *personalized*~~encoded~~

checks ~~from the bank~~. ~~Starter checks should only be accepted if the bank has encoded the routing number and account number on the bottom of the check.~~

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

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

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

General

The *vice president of finance and administration*~~university~~ has delegated the authority and responsibility for establishing procedures for all receipt-handling activities to the *director of treasury and student business services*~~controller's office~~. In carrying out th*e responsibility for maintaining procedures for all receipt-handling activities* ~~is duty~~, the ~~controller's~~ office *of student business services* is responsible *to*~~for~~:

1. Establish~~ing~~ and enforce~~ing~~ procedures governing the receipt, handling, custody, and disbursement of funds.
2. Require~~ing~~ the ~~establishment and~~ maintenance of records *that* account~~ing~~ for funds received and paid by the university.
3. ~~Opening and closing bank accounts and transferring funds among such accounts as necessary and prudent, considering current interest rates and collateral levels.~~
4. ~~.~~*3.* Establish~~ing~~ and authorize~~ing~~ procedures for granting, maintaining, and terminating the ~~departmental~~ collection of university funds *by a department*~~,~~*, office, or affiliated organization that handles university receipts.*

This policy is applicable to every university department, administrative office, and affiliated organization that handles receipts for any university-related function. ~~Employees that handle receipts on behalf of the university are required to be familiar with the provisions of this policy. Additionally,~~ *T*~~t~~he ~~controller's office~~ *student business services office* or audit services may perform periodic audits of any department *or affiliated organization* with *university* receipt-handling operations.

Any individual handling university receipts ~~is responsible~~ *must remain familiar with the provisions of this policy,* ~~to the university for~~ *and ensure* proper security and accountability. Due to the personal liability involved in performing receipt-handling functions, it is important that only authorized employees accept funds for university business. In rare instances, non-employees (i.e. students or volunteers) may be authorized to accept funds for the university if written approval is obtained from the *director of treasury and student business services or their designee*~~bursar~~. In these cases, an employee is responsible for ensuring that these persons are properly trained and receipts are handled appropriately. All persons accepting funds for the university are required to appropriately safeguard,

account for, and document all receipts received on behalf of the university. Applicable university discipline and/or discharge policies will be followed in the imposition of sanctions related to a violation of this policy.

Segregation of Duties

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

Written Departmental Procedures

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

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

Safekeeping

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

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

~~in a secure place, either a safe or locked container.~~

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

Prohibition Against Transactions Involving Family Members

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

Custodian Responsibilities

Custodians should be familiar with this policy and with Receipting Guidelines and Procedures found on the Student Business Services website.

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

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

Maintaining current and accurate records of the funds: The records should provide clear documentation of receipts from the time of collection to the time of deposit. This documentation should always be readily available for audit by the *student business services*~~controller's~~ office, internal or external auditors, or the department head. Specific information on appropriate documentation can be found ~~under~~ *in* Receipt*ing* ~~*Revenues*~~ *Guidelines and* ~~s Procedures, b~~*Procedures*~~elow~~. ~~*on the SFA Student Business Services website (add link).*~~

Overages and Shortages: Both overages and shortages should be noted and tracked by the custodian and then reviewed and certified by a supervisor or department head. Significant amounts should be immediately reported to the department head and the *student business services*~~controller's~~ office. If

there appears to be a growing pattern or anything unusual or abnormal about the overages and shortages, that information must be disclosed immediately.

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

Training Requirements: Mandatory receipts training is required of all employees whose job duties include the acceptance, record keeping, and deposit of university receipts. ~~Additionally~~*Additionally*, ~~,~~ *in accordance with policy 14.8, Payment Card Acceptance and Security,* separate training is required for employees who handle payment cards. Receipts and payment card training is required on an annual basis and should be coordinated through the *student* business *services* office.

~~**Receipting Revenues**~~

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

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

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

~~**Canceled/Voided Transactions**~~

~~The same-day cancellation of a transaction must be approved by a supervisor. Upon approval, the~~

~~original receipt should be voided and the payment returned to the customer. The customer should sign the voided receipt acknowledging the transaction.~~

~~Manual Cash Receipt Books~~

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

1. ~~Department name~~
2. ~~Numbers of each book distributed~~
3. ~~Signature by the person receiving the book(s)~~
4. ~~Description of what the receipts book(s) will be used for~~

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

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

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

~~Reconciling Cash and Receipts~~

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

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

~~Payment Acceptance~~

~~Acceptable forms of payment with proper identification:~~

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

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

- ~~Counter Check~~
- ~~Third-Party Check~~
- ~~Foreign Check~~

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

~~Item~~	~~Verification~~
~~**Account holder's name, address, phone**~~	~~Verify the information is included on the check. A daytime phone number is preferred.~~
~~**Bank coding and holder's account**~~	~~Observe that the check has the customer's bank account and routing number encoded on the bottom along with the bank and check number.~~
~~**Payee**~~	~~Must be payable to Stephen F. Austin State University, SFA, or SFASU.~~
~~**Date**~~	~~Verify check is not stale dated or postdated.~~
~~**Amount**~~	~~Verify that numerical amount is same as written amount.~~
~~**Signature**~~	~~Observe that check is signed.~~

~~Credit Cards~~

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

- ~~Visa~~
- ~~American Express~~
- ~~MasterCard~~
- ~~Discover~~

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

- ~~Credit cards shall be accepted for no more than the amount of purchase.~~

- ~~The expiration date and security code are required.~~
- ~~If information is received by phone, a contact phone number must be included.~~
- ~~All credit card information should be considered confidential and must be protected (see Payment Card Acceptance and Security (14.8)).~~

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

~~Signage~~

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

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

~~Endorsement Stamps~~

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

~~Deposits of Cash and Checks~~

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

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

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

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

~~**Preparing and Making the Deposit**~~

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

~~**Sales Tax**~~

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

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

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: ***None***~~Deposit Summary Form~~

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student and Non-Student Accounts Receivable

Policy Number: 3.28

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

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

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

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

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: Organizational updates and formatting and wording changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Student *and Non-Student* Accounts Receivable

Original Implementation: July 15, 2008
Last Revision: ~~January 29, 2019~~ *April 11, 2022*

Purpose

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

General

Procedures will be maintained by the ~~controller's~~ office *of student business services*, for at least the following:

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

Criteria for Recognizing an Account Receivable

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

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

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

Recording an Account Receivable in the Financial Records

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

In the event that a student withdraws during the semester, the- *student charges will be adjusted in accordance with state law.*~~accounts receivable outstanding balance is reduced by the appropriate percentage refund rate relevant at the time of withdrawal~~.

Reconciling Accounts Receivable

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

Aging Accounts Receivable

The ~~controller's~~ office *of student business services* -also maintains an aging schedule for all student accounts receivable with the total of the aging schedule balanced to the total recorded accounts receivable. At year end, the aging schedule may be analyzed to aid in the process of the calculation of the allowance for doubtful accounts.

Collecting Accounts Receivable

~~The size of the account receivable may influence the collection efforts. The expenditure of time, effort, and money to collect large accounts receivable is appropriate; however, the same efforts expended on very small accounts receivable may not be economical.~~ Guidelines- *and procedures for collection of delinquent accounts will be maintained by the office of student business services*~~as to~~

~~the level of attention and the efforts expended on accounts receivable will be set by the university based on recommendations from collection agencies and management~~.

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

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

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

Billing and Collection Activity on Delinquent Accounts or Accounts in Default

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

Inactive Students: Delinquent accounts will be analyzed and processed on a regular basis. Any general deposits will be applied to inactive students' outstanding balances to defray the amounts due to the university. ~~After this analysis~~*As appropriate*, delinquent accounts on inactive students will be subject to collection activity. Attempts will be made to contact students before delinquent accounts are turned over to collections. Students will not be assessed ~~any~~ collection agency fees or collection costs if they make a payment or ~~request to~~ set up a repayment agreement ~~during the communication and contact period(s)~~ *prior to the account being turned over to a collection agency*. *Collection agency* ~~After communication and contact periods expire, accounts will be placed with a collection agency or an attorney. The collection agency may give the student an additional period prior to assessing fees. The f~~*f*ees assessed to the student will be negotiated in advance *by the university* ~~with the collection agencies~~ and ~~are subject to a~~*a*pprov*ed by* ~~al from the T~~ *the T*exas Attorney General's office. Additionally, accounts may also be reported to the Texas Comptroller of Public Accounts as authorized by Texas Government Code § 403.055 to ensure that no treasury warrants are issued or payments are paid to the debtor until the debt is paid.

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

~~If a debtor has received a warning letter and begins making regular payments but then stops making~~

~~regular payments before the account is paid in full, the debtor may be sent to an outside collection agency or attorney without further notice to the debtor.~~

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

Write-Off of an Uncollectible Account

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

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

~~**Forgiveness of Debt versus Write-Off of Uncollected Accounts**~~

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

Allowance for Doubtful Accounts

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

Cross Reference: Texas Comptroller of Public Accounts Fiscal Policies & Procedures, Accounting for Uncollectible Accounts (APS 027); Tex. Gov't Code § 403.055; Ch. 2107*; Tex. Educ. Code § 54.006*

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Travel

Policy Number: 3.29

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

Date of last revision, if applicable: 10/26/2020

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

Purpose of Policy (what does it do): This policy establishes regulations related to allowable expenditures for university business travel and identifies the SFA Travel Guidelines and the Textravel website maintained by the Texas Comptroller of Public Accounts as the authoritative resources for travel laws and rules.

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: Added definition, remove procedural references, update position titles, and minor word changes.

Specific rationale for deletion of policy: NA

Additional Comments:

Reviewers:

Jennifer McCall, Director of Procurement and Business Services/HUB Coordinator
Judi Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Travel

Original Implementation: October 31, 2000
Last Revision: ~~October 26, 2020~~*April 11, 2022*

Purpose

This policy establishes regulations related to allowable expenditures for university business travel and identifies the Stephen F. Austin State University (SFA) Travel Guidelines and the Textravel website maintained by the Texas Comptroller of Public Accounts *(TCPA)* as the authoritative resources for travel laws and rules.

Definitions

University business travel is travel undertaken for the benefit of the university.

Account Manager *is defined as a department head (including department chairs, divisions heads, and all deans or designees) and/or financial manager.*

General

The university shall make every effort to minimize the amount of travel expenses paid and/or reimbursed. *Account managers and travelers must*~~are , and to~~ ensure that each travel arrangement is the most cost-effective considering all relevant circumstances. Travel expenditures must be reasonable, necessary, appropriately documented, and properly approved.

The *SFA Travel Guidelines* ~~are located on the university's travel website. These guidelines~~ apply to employees, students, and prospective employees traveling in a university capacity, except the president, members of the Board of Regents, and intercollegiate athletics. Travel by the president and Board of Regents will be made in accordance with applicable law. Travel related to intercollegiate athletics will be made in accordance with the *SFA Athletics Policy Manual*. ~~Intercollegiate Athletics Policy and Procedure Manual.~~

~~The reimbursement limits stated in the SFA Travel Guidelines may be exceeded only if funds are available in, and the additional costs are charged to, a discretionary account controlled by the budget manager authorizing the additional expenditure. For this policy, discretionary funds shall be defined by the controller's office. A list of funds that can be used for discretionary purposes will be published on the controller's office website.~~

Employees traveling under contracts and grants (federal, state, local, or private) shall be reimbursed for travel expenses and allowances on the same basis as other university employees, except in those instances where the terms of the contract or grant specify travel guidelines and reimbursement rates which differ from university reimbursement rates.

The T~~Generally, t~~*CPA*~~he Texas Comptroller of Public Accounts~~ ~~*created Textravel to*~~ *provides information on state travel laws and rules and* ~~(TCPA)~~ is the authoritative source regarding travel.

TCPA travel rules, *Textravel*, are located on the university's *travel website*. ~~In case of conflict between SFA Travel Guidelines and Textravel, SFA Travel Guidelines take precedence except where state of Texas law prevails.~~ The university president, at his/her discretion, may establish lower travel reimbursement rates than those in Textravel. Travelers will be notified in advance of the effective date of any rate change.

Travelers are responsible for ensuring their travel complies with applicable state law and SFA Travel Guidelines. Failure to comply may result in reimbursement delays and/or rejection of the traveler's claim for travel reimbursement. Fraudulent travel claims will be grounds for disciplinary action, including termination.

Cross Reference: Tex. Gov't Code § 660.203; Tex. Educ. Code § 101.19; SFA Travel Guidelines; *SFA* ~~Intercollegiate~~ Athletics Policy ~~and Procedure~~ Manual; Textravel ~~(Texas Comptroller of Public Accounts travel rules)~~; Fraud (2.7)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: *Director of Procurement & Business Services / HUB Coordinator* ~~Controller~~

Forms: None

Board Committee Assignment: Finance and Audit

CADET HANNAH FRITSCH BIO

Cadet Hannah Fritsch is from Porter Texas and graduated from Porter High School class of 2019. Cadet Fritsch was ranked in the top 7% of her class and accepted into SFA. Hannah joined the ROTC program spring of her freshman year and contracted in the fall of 2020. Hannah is majoring in Health Science with a minor in Military Science and will commission as a 2nd Lieutenant in the spring of 2023. After graduation, she will join the Army Reserves as a Medical Service Corp Officer. Hannah plans to additionally pursue a Bachelors in Nursing in hopes of becoming a Registered Nurse.

ACADEMIC AFFAIRS – SPECIAL RECOGNITION

Grant Awards
Bronze Level – Dr. Kevin Langford
Silver Level – Dr. Pat Stephens-Williams
Million Dollar Club – Dr. Keith Hubbard
Million Dollar Club – Dr. Stephen Cooper
Faculty Research – Senior Faculty (tenured) – Dr. Thomas Judson

For being promoted to full professor

Kelly Noe	Accounting
Nina Ellis-Hervey	Human Services & Educational Leadership
Todd Whitehead	Kinesiology & Health Science
J.D. Salas	Music
Dusty Jenkins	Psychology
Sarah Savoy	Psychology
Robert Henderson	Mathematics & Statistics
Jane Long	Mathematics & Statistics

Dr. Steve Taaffe will be recognized as **Regents Scholar**.

ENROLLMENT MANAGEMENT – SPECIAL RECOGNITION

Financial Aid and Scholarship Office

STUDENT AFFAIRS – SPECIAL RECOGNITION

Pine Log and Stone Fort

Spirit Programs

ATHLETICS – SPECIAL RECOGNITION

Lumberjack Basketball

Ladyjack Basketball

MINUTES OF JANUARY 30 – FEBRUARY 1, 2022 (353) AND MARCH 23, 2022 (354) BOARD OF REGENTS MEETINGS

Explanation:

The minutes of the January 30 – February 1, 2022 regular meeting of the Board of Regents (Meeting 353), March 23, 2022 special called meeting (Meeting 354) are included in this report.

Recommendation:

It is recommended by the administration that the minutes of the January 30 – February 1, 2022 (Meeting 353) and March 23, 2022 (Meeting 354) be approved as presented.

Stephen F. Austin State University

MINUTES OF THE BOARD OF REGENTS

Nacogdoches, Texas
January 30 – February 1, 2022
Volume 353

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

The Building and Grounds Committee met on Wednesday, January 26, 2022 in preparation for the full Board of Regents meeting held January 30 – February 1, 2022.

Wednesday, January 26, 2022

The meeting of the Building and Grounds Committee was called to order in open session at 1:30 p.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:	Mrs. Jennifer Winston, Secretary
	Mr. Robert Flores
	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.

At 1:35 p.m. the committee recessed to tour the following facilities: Forestry Lab Building, Arthur Temple College of Forestry Building, Forestry Greenhouse, Steen Hall, Agriculture Mechanics Building and the Agriculture Building. The tour concluded at 3:30 p.m.

John Branch, Interim Director of the Physical Plant, provided the Construction Report, Planned Maintenance Report, and the Master Plan Report. Committee Chair Alders provided a report on a proposal for Capital Improvements Plan that will be presented to the committee on Sunday, January 30, 2022.

Committee members heard presentations, discussed and agreed to recommend the following agenda item.

6. Building and Grounds Committee Policy Revisions
    Class Meeting Times 4.12
    Course Scheduling 4.13
    Smoking, Vaping and Use of Tobacco Products 13.21
    Student Center Operations 16.26
    Telecommunications Services 16.28
    Work Requests 16.37

The Building and Grounds Committee adjourned at 5:10 p.m.

Sunday, January 30, 2022

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
	Mr. David Alders
	Mr. Robert Flores
	Mrs. Brigettee Henderson
	Mrs. Judy Olson
	Dr. Laura Rectenwald
	Ms. Nancy Windham
	Mr. Spencer Coffey, Student Member

Note: Regent Jennifer Winston was unable to attend and Regent Alders joined the meeting at 2:45 p.m.

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. Jill Still
	Dr. Charlotte Sullivan

Other SFA administrators and staff were in attendance.

The board heard presentations and reports from the following President's cabinet members:

- Office of Marketing Communications Update provided by Mr. Graham Garner.
- Office of Information Technology Services Update provided by Mr. Anthony Espinoza.
- SFA Athletics Update provided by Mr. Ryan Ivey.
- Office of Diversity, Equity and Inclusion Update provided by Dr. Michara DeLaney-Fields.
- Enrollment Management Update provided by Mrs. Erma Brecht.

The board recessed to committee meetings.

The meeting of the Building and Grounds Committee was called to order in open session at 2:52 p.m. by committee chair, David Alders.

Committee Members: Mr. David Alders, Chair
Mrs. Brigettee Henderson
Ms. Nancy Windham
Mrs. Karen Gantt, ex officio

Committee members heard presentations, discussed and agreed to recommend the following agenda items.

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

8. Proposal for Capital Improvements Plan

The Building and Grounds Committee meeting adjourned at 3:20 p.m. and the Chair Gantt called the meeting into Executive Session to discuss 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, Public Information Act, *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)

The executive session ended and the Board of Regents meeting returned to open session at 7:00 p.m.

The meeting was recessed by Chair Gantt at 7:01 p.m. to Monday, January 31, at 8:30 a.m.

Monday, January 31, 2022

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
	Mr. Robert Flores
	Mrs. Brigettee Henderson
	Mrs. Judy Olson
	Dr. Laura Rectenwald
	Ms. Nancy Windham
	Mr. Spencer Coffey, Student Member

Note: Regent Jennifer Winston was unable to attend.

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
	Ms. Jill Still
	Dr. Charlotte Sullivan

Other SFA administrators and staff were in attendance.

The board recessed to committee meetings.

The Academic and Student Affairs Committee was called to order by committee chair, Brigettee Henderson at 8:35 a.m.

Committee Members: Mrs. Brigettee Henderson, Chair
Dr. Laura Rectenwald
Mrs. Jennifer Winston
Mr. Spencer Coffey, Student Regent
Mrs. Karen Gantt, ex officio

A report was provided from Hanover Research Study by representative Mr. Paul Gibson to discuss the results and use of the dashboards for the faculty and staff salary studies.

Committee members heard presentations, discussed and agreed to recommend the following agenda items.

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
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- Student Service Fee Allocations 10.11
- Ticket Office Services 16.29

The Academic and Student Affairs Committee meeting adjourned and the Finance and Audit Committee was called to order by committee chair, Tom Mason at 9:15 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.

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

The Investment Report was presented to the board by Dave Verghese, Executive Director of Investments with The Texas A&M University System Treasury Services via videoconference.

The Finance and Audit Committee recessed until after lunch.

At 10:45 a.m. the board toured the Audiology and Speech-Language Pathology Program Facilities located in the Human Services Building, as well as the Sports Business Program in the McGee Business Building. The board then broke for lunch at 12:15 p.m.

The Finance and Audit Committee reconvened at 2:01 p.m. Committee members heard presentations, discussed and agreed to recommend the following agenda items.

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

Judi Kruwell provided a report on the FY2022 Budget Status and Analysis of Changes in FY2021 Unrestricted New Position.

18. Acknowledge Receipt of Annual Financial Report 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

The Finance and Audit Committee recessed at 4:36 p.m. The Board returned to Committee of the Whole. Chair Gantt called the meeting into Executive Session to discuss 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, EEOC

charges, Public Information Act, *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)

The executive session ended and the Board of Regents meeting returned to open session at 5:41 p.m.

The meeting was recessed by Chair Gantt at 5:43 p.m. to Tuesday, February 1, at 8:30 a.m.

Tuesday, February 1, 2022

The meeting of the Board of Regents was called to order in open session at 8:30 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
	Mr. Robert Flores
	Mrs. Brigettee Henderson
	Mrs. Judy Olson
	Dr. Laura Rectenwald
	Ms. Nancy Windham
	Mr. Spencer Coffey, Student Member

Note: Regent Flores arrived at 9:10 a.m.

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 Alders offered the invocation and ROTC Cadet Benefo led the pledges to the flags.

SPECIAL RECOGNITION

Jill Still recognized the Alumni Affairs Office for their continued work with engaging alumni, parents and friends of the university. Lorenzo Smith recognized faculty members in the College of Forestry and Agriculture, School of Art, as well as an outstanding student. Graham Garner recognized Shirley Luna for her years of service to University Marketing Communications and the University. Judi Kruwell recognized Dr. Jeremy Higgins for his hard work and dedication in management of the COVID-19 program and committee on campus throughout the pandemic. Ryan Ivey recognized the Lumberjack Football Team and Head Football Coach, Colby Carthel for their performance during the past football season.

MINUTES

Board Order 22-20
Upon motion by Regent Mason, seconded by Regent Olson, with all members voting aye, it was ordered that the minutes of Meeting 351, October 31 – November 1, 2021 and Special Called Meeting 352 December 12, 2021 be approved as presented.

PERSONNEL

Board Order 22-21
Upon motion by Regent Alders, seconded by Regent Winston, with all members voting aye, it was ordered that the following personnel items be approved.

STAFF APPOINTMENTS

The following staff appointments were 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

The following faculty appointments were 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

The following changes of status were 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

The following retirement was approved.

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

Board Order 22-22
Upon motion by Regent Alders, seconded by Regent Flores, 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:

Class Meeting Times 4.12
Course Scheduling 4.13
Smoking, Vaping and Use of Tobacco Products 13.21
Student Center Operations 16.26
Telecommunications Services 16.28
Work Requests 16.37

Board Order 22-23
Upon motion by Regent Alders, seconded by Regent Winston, with all members voting aye, it was ordered that the following building and grounds item be approved.

RESCIND BOARD ORDER 22-06 RFQ FOR MASTER PLAN

WHEREAS, the board members considered: 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.

THEREFORE, it was approved to rescind Board Order 22-06 for a Request for Qualifications for a firm to update the current master plan.

Board Order 22-24
Upon motion by Regent Alders, seconded by Regent Henderson, with all members voting aye, it was ordered that the following building and grounds item be approved.

PROPOSAL FOR CAPITAL IMPROVEMENTS PLAN

WHEREAS, the board members considered: 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 improvement 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.

THEREFORE, it was approved to enter into a contract with Kirksey Architects, Inc. for a capital improvements plan in the amount to not exceed $200,000.

ACADEMIC AND STUDENT AFFAIRS COMMITTEE

Board Order 22-25
Upon motion by Regent Henderson, seconded by Regent Mason, with all members voting aye, it was ordered that the following academic and student affairs item be approved.

SHARED GOVERNANCE DOCUMENT

WHEREAS, the board members considered: 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.

THEREFORE, the *Shared Governance Document: December 11, 2021* was approved as presented in Appendix 2.

Board Order 22-26
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.

ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

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

FINANCE AND AUDIT COMMITTEE

Board Order 22-27
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 AUDIT SERVICES REPORT

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

Board Order 22-28

Upon motion by Regent Mason, seconded by Regent Flores, 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:

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

Board Order 22-29
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.

GRANT AWARDS

WHEREAS, the board members considered: 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.

THEREFORE, it was ordered that that the additional fiscal year 2022 grant awards that total $986,667 be approved and ratified as presented in Appendix 3.

Board Order 22-30
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.

RESOLUTION TO ACKNOWLEDGE REVIEW OF THE INVESTMENT STRATEGY AND POLICY

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

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

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

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

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University

Board of Regents, by the issuance of this resolution, does hereby approve the investment policy and strategy as reviewed on 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.

Board Order 22-31
Upon motion by Regent Mason, seconded by Regent Flores, with all members voting aye, it was ordered that the following financial affairs item be approved. Regents Henderson, Alders, Winston and Olson abstained from the vote.

RESOLUTION APPROVING INVESTMENT BROKERS AND FINANCIAL INSTITUTIONS

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

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.

Board Order 22-32
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.

FY2023 ROOM AND BOARD RATES

WHEREAS, the board members considered: 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.

These revised rates will become effective for the fall semester of 2022.

THEREFORE, it was ordered the approval of a 5.0% increase for board rates and a 4.0% increase for room rates for Fiscal Year 2023, as presented in Appendix 4.

Board Order 22-33

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.

CHANGES TO FY2022 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.

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.

THEREFORE, it was ordered that the changes to the FY2022 Capital and Higher Education Fund Schedule: 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, be approved. The president is authorized to sign associated purchase orders and contracts as necessary.

Board Order 22-34
Upon motion by Regent Mason, seconded by Regent Windham, with all members voting aye, it was ordered that the following financial affairs item be approved.

ACKNOWLEDGE RECEIPT OF ANNUAL FINANCIAL REPORTS FROM INSTITUTIONALLY RELATED ENTITIES

WHEREAS, the board members considered: 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.

THEREFORE, the Board of Regents acknowledged receipt of 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.

Board Order 22-35
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.

FINANCE AND AUDIT POLICY REVISIONS

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

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

REPORTS

President, Dr. Scott Gordon discussed the following topics.

COVID Update
Spring Semester Update
University Partnerships
Distinguished High School Update
Legislative Work
Summer Plans – Road Tour

Faculty Senate Chair, Brian Uriegas reported on the following topics.

Faculty Accomplishments
Senate Work Spring 2022
Opportunity for Questions

Staff Council Chair, Megan Weatherly presented on the following topics

Staff Council Work Fall 2021
Staff Council Work Spring 2022

Student Government Association President, Lauren Roach discussed the following topics.

Rebranding SGA
Student Service Fee Committee
Counseling Services

Chair Gantt called for a report from the nominating committee appointed at the October 2021 meeting. David Alders, chair, reported on behalf of the committee, which included members Judy Olson and Brigettee Henderson. The following officers were nominated to serve during 2022-2023, assuming a new term of office on April 12, 2022.

Karen Gantt, Chair
Tom Mason, Vice Chair
Jennifer Winston, Secretary

The meeting of the Board of Regents adjourned by Chair Gantt at 10:57 a.m.

Policy Revisions

Appendix 1

Policy Name	Policy Number	Page
Affirmative Action	11.1.	1
Class Meeting Times – NEW Name Course Scheduling and Room Assignment	4.12.	4
Course Scheduling - Deleted	4.13.	11
Curation of Archaeological Collectors	5.6.	14
Delegated Purchasing Authority	17.5.	17
Employee Affirmation Action/Recruitment Plan	11.9.	21
Expenditure of Higher Education Funds	3.32.	25
Faculty and Staff Athletic Ticket Purchases	12.8.	28
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Appendix 1

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

Appendix 1

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

Appendix 1

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~~

Appendix 1

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

Appendix 1

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

Appendix 1

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

Appendix 1

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

Appendix 1

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

Appendix 1

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

Appendix 1

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

Appendix 1

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

Appendix 1

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

Appendix 1

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.

Appendix 1

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

Appendix 1

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

Appendix 1

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

Appendix 1

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

Appendix 1

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

Appendix 1

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

Appendix 1

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 <u>each</u> 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

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: 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

Appendix 1

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

Appendix 1

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: 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

Appendix 1

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

Appendix 1

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

Appendix 1

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

Appendix 2

Shared Governance Document

December 11, 2021

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

Appendix 2

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.

Appendix 2

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.

Appendix 2

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

Appendix 3

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.

Appendix 3

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.

Appendix 3

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.

Appendix 3

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.

Appendix 4

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%

Appendix 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

Stephen F. Austin State University

MINUTES OF THE BOARD OF REGENTS

Nacogdoches, Texas
March 23, 2022
Volume 354

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BOARD MINUTES FOR MARCH 23, 2022
BOARD OF REGENTS MEETING 354

No Board Orders. Building and Grounds Committee Meeting and Executive Session Only.

Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
March 23, 2022
Austin Building, Room 307
Meeting 354

Wednesday, March 23, 2022

The meeting of the Board of Regents was called to order in open session at 1:32 p.m. by chair Karen Gantt.

PRESENT:

Board Members:	Mrs. Karen Gantt, Chair
	Mr. Tom Mason, Vice Chair
	Mr. David Alders
	Mr. Robert Flores
	Mrs. Brigettee Henderson
	Mrs. Judy Olson
	Dr. Laura Rectenwald
	Ms. Nancy Windham
	Mr. Spencer Coffey, Student Member

Note: Regent Jennifer Winston was unable to attend.

General Counsel:	Mr. Damon Derrick
President:	Dr. Scott Gordon
Chief Audit Exec.:	Mrs. Gina Oglesbee
Cabinet Members:	Mr. Graham Garner
	Mrs. Judi Kruwell
	Dr. Lorenzo Smith

Other SFA administrators and staff were in attendance.

The board recessed to committee meetings.

The meeting of the Building and Grounds Committee was called to order in open session at 1:34 p.m. by committee chair, David Alders.

Committee Members:	Mr. David Alders, Chair
	Mrs. Brigettee Henderson
	Ms. Nancy Windham
	Mrs. Karen Gantt, ex officio

At 1:35 p.m. the committee recessed to tour the following facilities: Kerr Hall, Hall 10, North Hall, Lumberjack Village and Clubhouse, and the Miller Science Building. Dr. Brandon Frye, joined the

group during the tour. The tour concluded at 3:40 p.m. Dr. Michara DeLaney-Fields joined the meeting upon the group returning to the Austin Building.

Committee members heard presentations, discussed, and agreed to recommend the following agenda items that will be presented to the full Board of Regents for review and approval during the scheduled meeting on April 10 – 12, 2022.

Steve Durham, Executive Vice President and Director of Collegiate Projects for Kirksey Architecture provided an overview of Capital Improvements Plan project that Kirksey is preparing for the university.

John Branch, Interim Director of the Physical Plant, provided the Construction Report.

Agenda item Lanana Creek Trail – Advanced Agreement for the 2019 Safe Routes to School/Transportation Alternatives Grant Program was reviewed and discussed.

The Building and Grounds Committee Policy Revisions agenda item will be held until the April 10 – 12, 2022 meeting.

Regent Henderson provided a report on the Intercollegiate Athletic Advisory Committee that met on February 25, 2022. The Intercollegiate Athletic Advisory Committee recommended to the Building and Grounds Committee, that the Athletic Facilities Master Plan originally created by Populous, Inc. in 2018 be updated. Building and Grounds Committee Chair Alders asked for General Counsel to research what steps would need to be taken for this recommendation.

The Building and Grounds Committee adjourned at 5:26 p.m. and the Chair Gantt called the meeting into Executive Session to discuss 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, 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, 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 8:58 p.m.

The meeting of the Board of Regents adjourned by Chair Gantt at 9:00 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 attached staff appointments be approved.

STAFF APPOINTMENTS

	Employee Name	New Title and Department	New Salary - New Term Length	New FTE	Effective Date
Staff					
	Amber Mims	Director - AARC	$45,000-Annual	100%	2/21/2022
	Dylan Belanger	Football Assistant Coach - Athletics	$41,186-Annual	100%	2/2/2022
	William Bleil	Football Assistant Coach - Athletics	$80,000-Annual	100%	1/14/2022
	Joe Cauthen	Football Assistant Coach - Athletics	$115,000-Annual	100%	1/20/2022
	Ikponmwosa Ike Eguae	Football Assistant Coach - Athletics	$50,000-Annual	100%	1/24/2022
	Madison Wilkerson	Volleyball Assistant Coach - Athletics	$34,320-Annual	100%	1/12/2022
	Dennis Driscoll	Associate Athletic Director (Strategic Communications) - Athletics	$58,000-Annual	100%	2/7/2022
	Elizabeth Guerra	Teacher - Charter School	$39,000-10 months	100%	1/18/2022
	Jennifer Krause	Senior Representative - Human Resources	$50,000-Annual	100%	2/1/2022
	Isabel Rodriguez	Area Coordinator - Residence Life	$45,000-Annual	100%	2/14/2022
	Katherine West	Compliance Specialist - Title IX Compliance	$49,500-Annual	100%	1/26/2022

Time Period Reporting: 1/1/22 - 2/28/22

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 attached faculty appointments be approved.

FACULTY APPOINTMENTS

	Employee Name Last Degree - Granting Institution	New Title and Department	New Salary - New Term Length	New FTE	Effective Date
Faculty					
	Maria Betancourt-Smith, Ph.D. (Texas A&M)	Visiting Assistant Professor - Human Services and Educational Leadership	$30,500-Academic (Spring Semester)	100%	1/1/2022
	Robert Clark, MFA (Sam Houston State)	Visiting Assistant Professor - Kinesiology and Health Science	$25,000-Academic (Spring Semester)	100%	1/1/2022
	Jessica Conn, MS (SFA)	Visiting Instructor - Human Services and Educational Leadership	$29,000-Academic (Spring Semester)	100%	1/1/2022
	Richard Skuza, Ed.D. (Texas A&M)	Visiting Assistant Professor - Human Services and Educational Leadership	$30,500-Academic (Spring Semester)	100%	1/1/2022

Time Period Reporting: 1/1/22 - 2/28/22

FACUTLY PROMOTIONS

Explanation:

Promotions are initiated at the departmental level by one of the following methods: a faculty member applies for promotion on his/her own behalf or is recommended for promotion by his/her department chair. The application/recommendation is reviewed, ranked, and recommended or not recommended for approval by the department faculty at or above the rank sought, department chair, dean, provost/vice president of academic affairs and president. Promotions recommended for approval by the president are submitted to the board for consideration.

Recommendation:

It is recommended by the administration that the following individuals be granted promotion to the academic rank indicated:

To Associate Professor, effective fall semester, 2022

Derek Cegelka	Kinesiology and Health Science
Rachel Jumper	Human Sciences
Sarah Straub	Education Studies
James Adams	Music
Jacob Walburn	Music
Stephanie Jones	Agriculture
Jose Carbajal	Social Work
John Pruit	Anthropology, Geography and Sociology
George Day	Government
James Adams	Physics, Engineering and Astronomy
Christopher Aul	Physics, Engineering and Astronomy
Bidisha Sengupta	Chemistry and Biochemistry

To Professor, effective fall semester, 2022

Kelly Noe	Accounting
Nina Ellis-Hervey	Human Services and Educational Leadership
Todd Whitehead	Kinesiology and Health Science
J.D. Salas	Music
Dusty Jenkins	Psychology
Sarah Savoy	Psychology
Robert Henderson	Mathematics and Statistics
Jane Long	Mathematics and Statistics

To Professor Emeritus, effective fall semester, 2022

Robbie Steward	Human Services and Educational Leadership

Promoted to Librarian III, effective September 1, 2022

Shannon Bowman	Library

FACULTY TENURE

Explanation:
Tenure is awarded by the Board of Regents to those faculty members who are recommended by the president. Applications of individuals recommended for tenure are reviewed by departmental and college committees and by a department chair, dean and provost/vice president of academic affairs, prior to recommendation to the president.

Recommendation:
It is recommended by the administration that academic tenure be awarded to the following individuals, effective fall semester, 2022:

Derek Cegelka	Kinesiology and Health Science
Flora Farago	Human Sciences
Rachel Jumper	Human Sciences
Heather Munro	Education Studies
James Adams	Music
Jacob Walburn	Music
Stephanie Jones	Agriculture
Jose Carbajal	Social Work
John Pruit	Anthropology, Geography and Sociology
George Day	Government
James Adams	Physics, Engineering and Astronomy
Christopher Aul	Physics, Engineering and Astronomy
Edward Iglesias	Library

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 attached changes of status be approved.

CHANGES OF STATUS - STAFF

Employee Name	Previous Position and Department	Previous SFA Salary-Previous Term Length (Academic/Annual) - Previous FTE	New Title and Department	New SFA Salary - New Term Length (Academic/Annual) - New FTE	Effective Date
Kristin Bangtson	Program Director - AARC	$46,350-Annual - 100%	Assistant Director - Athletics Academic Services	$60,000-Annual - 100%	1/10/2022
Caleb Clowers	Assistant Coach - Athletics - Baseball	$41,186-Annual - 100%	Assistant Coach - Athletics - Baseball	$47,675-Annual - 100%	2/2/2022
Kevin Bleil	Assistant Coach - Athletics - Football	$61,250-Annual - 100%	Assistant Coach - Athletics - Football	$70,000-Annual - 100%	2/1/2022
Kincaid Faske	Assistant Coach - Athletics - Football	$55,000-Annual - 100%	Assistant Coach - Athletics - Football	$65,000-Annual - 100%	2/1/2022
Jared May	Assistant Coach - Athletics - Football	$61,250-Annual - 100%	Assistant Coach - Athletics - Football	$70,000-Annual - 100%	2/1/2022
Cameron Rogers	Assistant Coach - Athletics - Football	$32,000-Annual - 100%	Assistant Coach - Athletics - Football	$50,000-Annual - 100%	2/1/2022
Matthew Storm	Assistant Coach - Athletics - Football	$112,500-Annual - 100%	Assistant Coach - Athletics - Football	$120,000-Annual - 100%	2/1/2022
Travis Killen	Systems Manager - Information Technology Services	$72,943-Annual - 100%	Systems Assistant Director - Information Technology Services	$85,000-Annual - 100%	1/1/2022

Time Period Reporting: 1/1/22 - 2/28/22

REGENTS SCHOLAR 2022 - 2023

Explanation:

Nominations for Regents Scholar are sought from the faculty. A committee consisting of three academic deans and three former Regents Professors, review nominations and make recommendations to the provost/vice president of academic affairs. Regents Scholar receive a $2,000 grant to support their efforts and a medal.

Recommendation:

Dr. Steve Taaffe	Professor of History

RETIREMENTS

Explanation:

Retirements include the listing of personnel that have selected to retire from SFA.

Recommendation:

It is recommended by the administration that the attached retirements be approved as presented.

RETIREMENTS

Type (Faculty/Staff)	Employee Name	Current Department	Current Title	Effective Date	Years of Service at SFA
Staff	Shirley Luna	University Marketing Communications	Executive Director	2/28/2022	23

Time Period Reporting: 1/1/22 - 2/28/22

Action Item: Pending Executive Session Item

Action Item: Pending Executive Session Item

Building and Grounds Committee

LANANA CREEK TRAIL – ADVANCED FUNDING AGREEMENT FOR THE 2019 SAFE ROUTES TO SCHOOL/TRANSPORTATION ALTERNATIVES GRANT PROGRAM

Explanation:

In July 2019, the Board of Regents approved Board Order 19-51, authorizing the submission of four grant applications to the Texas Department of Transportation (TxDOT) Safe Routes to School / Transportation Alternatives (SRTS/TA) Grant Program to construct and enhance pedestrian sidewalks, trails, and bicycle paths, including the Lanana Creek Trail project with a total projected cost of $1,742,889, of which the university would be responsible for twenty percent ($348,578). Due to construction escalation costs, TxDOT increased the total projected cost to $1,811.274. This increased the university's contribution to $362,255. In April 2021, the Board of Regents approved Board Order 21-48, revising the university's contribution.

On April 29, 2021, the Texas Transportation Commission approved funding for the Lanana Creek Trail TA project. The university is required to execute an Advanced Funding Agreement (AFA) with TxDOT. The AFA is a contract that outlines the specific terms and conditions of the grant-funded project. The grant requires a twenty percent local match of $362,255. TxDOT is contributing $217,000 towards the local match, leaving the university to contribute the remaining $145,255 to complete the twenty percent match.

Recommendation:

The administration recommends approval to execute an Advanced Funding Agreement with TxDOT and commitment of a $145,255 cash match in support of the grant funded project. The administration further recommends the remaining balance of $217,000 from the previously approved $362,255 contribution be made available for any additional costs associated with the project, including but not limited to addition of appropriate health and safety features. The administration further recommends authorization of the president to sign all associated purchase orders and contracts as necessary.

SELECTION OF ARCHITECTURAL FIRM TO DEVELOP A COMPREHENSIVE ATHLETIC FACILITIES MASTER PLAN

Explanation:

The Athletics Advisory Committee recommended to the Buildings and Grounds committee of the Board of Regents that the university develop an athletic facilities master plan. Therefore, the university is seeking to enter into an agreement with a design firm with experience in the programming and design of university athletic facilities. The selected firm will evaluate the existing campus athletic facilities' current conditions to give direction and recommendations for renovating, removing and/or expanding the current athletics facilities. Additionally, the completed master plan will consider programming and design of athletic facilities that will define the strategic planning, programmatic needs, conceptual budgets and potential phasing for future athletic facility projects.

Recommendation:

The administration recommends submitting a request for qualifications (RFQ) to select a firm that will define the strategic planning, programmatic needs, conceptual budgets and potential phasing for future athletic facility projects. The administration further recommends authorization of the president to sign all associates contract(s) and purchase orders.

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:

Campus Programs for Minors 13.5
Markers, Monuments and Artwork 16.17
Skating, Skateboarding and Motorized Scooters 13.20
Solicitation on Campus 16.25
Space Assignment, Management and Planning 16.3

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Campus Program for Minors

Policy Number: 13.5

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

Date of last revision, if applicable: April 30, 2019

Unit(s) Responsible for Policy Implementation: Vice President of Student Affairs; Campus Living, Dining, and Auxiliary Services

Purpose of Policy (what does it do): The purpose of the Campus Program for Minors is to educate University employees and volunteers of such programs by establishing requirements relating to sexual abuse and child molestation training and examination. The proposed rules are necessary to comply with Senate Bill (SB) 1414, 82nd Legislature, Regular Session, 2011, which amended Texas Education Code, Section 51.976.

The rules will impose a requirement for all staff or volunteers in a position involving contact with campers at a campus program for minors to successfully complete an approved training and examination program on sexual abuse and child molestation; establish criteria for a training and examination program on sexual abuse and child molestation; require a training and examination program on sexual abuse and child molestation to be approved by DSHS; and provide civil penalties for a person violating the Act or a rule or order adopted under the Act.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for <u>each</u> substantive revision: The reviewers revisited the Texas Education Code Title 3, Subtitle A, Chapter 51, Subchapter Z and made clarifications and corrections to the policy definitions and code language.

Specific rationale for deletion of policy:

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

Additional Comments:

Reviewers:

Student Affairs Policy Review Committee
Carrie Charley, Executive Director , Campus Living, Dining & Auxiliaries
Brandon Frye, Vice President of Student Affairs
Damon Derrick, General Counsel

Campus Programs for Minors

Original Implementation: April 23, 2013
Last Revision: April ~~30, 2019~~*11, 2022*

Stephen F. Austin State University is committed to providing a safe environment for its students, employees and guests. The university sponsors programs on campus ~~from time to time that~~*that at times* involve minors *as participants*. *Campus shall mean all real property over which the university has possession and control by law*. In addition, the university may grant use of its facilities to third parties for programs that involve minors *as participants*. This policy provides for regulation of these campus programs for minors (CPM).

Definitions~~***: As detailed in Texas Education Code, Chapter 51, Subchapter Z, §51.976***~~

Abuse – includes the following acts or omissions by a person:

a. mental or emotional injury to a child that results in an observable and material impairment in the child's growth, development or psychological functioning;
b. causing or permitting the child to be in a situation in which the child sustains a mental or emotional injury that results in an observable and material impairment in the child's growth, development or psychological functioning;
c. physical injury that results in substantial harm to the child or the genuine threat of substantial harm from physical injury to the child, including an injury that is at variance with the history or explanation given and excluding an accident or reasonable discipline by a parent, guardian or managing or possessory conservator that does not expose the child to a substantial risk of harm;
d. failure to make a reasonable effort to prevent an action by another person that results in physical injury that results in substantial harm to the child;
e. sexual conduct harmful to a child's mental, emotional or physical welfare, including conduct that constitutes the offense of continuous sexual abuse of a young child or ~~children~~ *disabled individual* under Section 21.02, Penal Code, indecency with a child under Section 21.11, Penal Code, sexual assault under Section 22.011, Penal Code, or aggravated sexual assault under Section 22.021, Penal Code;
f. failure to make a reasonable effort to prevent sexual conduct harmful to a child;
g. compelling or encouraging the child to engage in sexual conduct as defined by Section 43.01, Penal Code, including compelling or encouraging the child in a manner that constitutes an offense of trafficking of persons under Section 20A.02(a)(7) or (8), Penal Code, *solicitation of* prostitution under Section 43.02~~(b)~~*1*, Penal Code, or compelling prostitution under Section 43.05(a)(2), Penal Code;
h. causing, permitting, encouraging, engaging in or allowing the photographing, filming or depicting of the child if the person knew or should have known that the resulting photograph,

film or depiction of the child is obscene as defined by Section 43.21, Penal Code, or pornographic;

i. the current use by a person of a controlled substance as defined by Chapter 481, Health and Safety Code, in a manner or to the extent that the use results in physical, mental or emotional injury to a child;
j. causing, expressly permitting or encouraging a child to use a controlled substance as defined by Chapter 481, Health and Safety Code;
k. causing, permitting, encouraging, engaging in or allowing a sexual performance by a child as defined by Section 43.25, Penal Code;
l. knowingly causing, permitting, encouraging, engaging in or allowing a child to be trafficked in a manner punishable as an offense under Section 20A.02(a)(5), (6), (7) or (8), Penal Code, or the failure to make a reasonable effort to prevent a child from being trafficked in a manner punishable as an offense under any of those sections; or
m. forcing or coercing a child to enter into a marriage.

Campus Program for Minors (CPM) – programs that:

a. include participants who are minors;
b. are operated by or on the campus of the university, including programs operated by third parties;
c. offer recreational, athletic, religious, or educational activities to participants for all or part of at least two (2) days.

Contact With Minor(s) – in the context of an employment or volunteer position described in this policy, interaction with minors that is direct and reasonably anticipated. The term does not include interaction that is merely incidental, or an employee or volunteer acting as a guest speaker, entertainer, or fulfilling any other role whose attendance at the campus program for minors is for a limited purpose or limited time if the employee or volunteer has no direct or unsupervised interaction with campers.

Minor – a child, under the age of 18, who is attending a campus program for minors.

Neglect ~~–~~– *an act or failure to act by a person responsible for a child's care, custody, or welfare evidencing the person's blatant disregard for the consequences of the act or failure to act that results in harm to the child or that creates an immediate danger to the child's physical health or safety and* includes:

a. the leaving of a child in a situation where the child would be exposed to *an immediate danger* ~~a~~/-substantial risk of physical or mental harm, without arranging for necessary care for the child and the demonstration of an intent not to return by a parent, guardian or managing or possessory conservator of the child;
b. the following acts or omissions by a person:

1. placing a child in or failing to remove a child from a situation that a reasonable person would realize requires judgment or actions beyond the child's level of maturity, physical condition or mental abilities and that results in bodily injury or *an immediate danger/*~~a~~ substantial risk of ~~immediate~~ harm to the child;
2. failing to seek, obtain or follow through with medical care for a child, with the failure resulting in or presenting *an immediate danger/*~~a~~ substantial risk of death, disfigurement or bodily injury or with the failure resulting in an observable and material impairment to the growth, development or functioning of the child;
3. the failure to provide a child with food, clothing or shelter necessary to sustain the life or health of the child, excluding failure caused primarily by financial inability unless relief services had been offered and refused;
4. placing a child in or failing to remove the child from a situation in which the child would be exposed to *an immediate danger/*~~a~~ substantial risk of sexual conduct harmful to the child; or
5. placing a child in or failing to remove the child from a situation in which the child would be exposed to acts or omissions that constitute abuse under "Abuse" definitions (e), (f), (g), (h) or (k) committed against another child.

d. the failure by the person responsible for the child's care, custody, or welfare to permit the child to return to the child's home without arranging for the necessary care for the child after the child has been absent from the home for any reason, including having been in residential placement or having run away; or

e. a negligent act or omission by an employee, volunteer, or other individual working under the auspices of a facility or program, including failure to comply with an individual treatment plan, plan of case, or individualized service plan, that causes or may cause substantial emotional harm or physical injury to, or the death of, a child served by the facility or program as further described by rule or policy.

Neglect does not include the items specified under Tex. Family Code § 261.001(4)(B).

Reporting Neglect or Abuse

A person having cause to believe that a minor has been abused or neglected by any person shall immediately (within 48 hours) make a report to the University Police Department or other local law enforcement agency. This legal requirement must be communicated to all individuals participating in the management/supervision of CPMs and employees and volunteers of third- party camps utilizing university facilities.

Procedures for Campus Programs for Minors

The university will adopt a procedure for CPMs that will include, but not be limited to, the following:

a. *For the purposes of this policy, this designee is the Coordinator for Camp~~u~~s and Conferences and can be contacted at reservations@sfasu.edu*~~A designee(s) who is authorized to review and approve camps and programs for minors on behalf of the university~~;

b. Procedures for reporting suspected abuse/molestation of minors;

c. A requirement to purchase medical coverage through the university camp insurance program and to provide evidence of liability insurance endorsing sexual molestation coverage and listing the university as additionally insured at levels approved by and meeting the standards of Environmental Health, Safety, & Risk Management.

d. Payment of required CPM administration fees as may be assessed.

Required Training

This policy requires child abuse prevention training for employees/volunteers of CPMs and establishes standards for such camps and programs. *Training will not be required for university employees or third party personnel whose positions of employment do not involve contact with minors at a CPM.*

An individual hired or assigned to an employee or volunteer position involving contact with minors at a camp and program for minors is required to complete training and examination on sexual abuse and child molestation meeting the following criteria:

a. Successful completion of a Child Protection Training course approved by the Texas Department of State Health Services.

b. Training must be completed prior to the employees' or volunteers' interacting with minors.

c. A certificate of completion shall be kept on file for two years *by the program's operator (i.e., camp director).*~~.~~

d. Employees or volunteers of third-party camps using university facilities may substitute the university-approved training course with an approved course as listed with the Texas Department of State Health Services.

~~e. Training will not be required for university employees or third-party personnel whose positions of employment do not involve contact with minors at a CPM.~~

Cross Reference: Tex. Educ. Code § 51.976; Tex. Fam. Code §§ 261.001-.111; Texas

Department of State Health Services Approved Training Programs

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

Contact for Revision: ~~Director of Student Services~~*Executive Director of Campus Living, Dining, and Auxiliaries*

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Markers, Monuments, and Artwork

Policy Number: 16.17

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): Stephen F. Austin State University has a large dynamic campus that is constantly in a state of change to meet the various needs of the diverse departments that make up the university as a whole. There are limitations on where and how markers, monuments, and artwork may be added to or removed from the campus so as not to encumber future university needs. The rules articulated in this policy apply to all students, faculty, staff, and their approved organizations, as well as all other persons and groups.

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: Committee 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
Jill Still, Vice President for University Advancement
Damon Derrick, General Counsel

Markers, Monuments, and Artwork

Original Implementation: July 17, 2001
Last Revision: ~~January 29, 2019~~ *April 11, 2022*

Purpose

Stephen F. Austin State University has a large dynamic campus that is constantly in a state of change to meet the various needs of the diverse departments that make up the university as a whole. There are limitations on where and how markers, monuments, and artwork may be added to or removed from the campus so as not to encumber future university needs. The rules articulated in this policy apply to all students, faculty, staff, and their approved organizations, as well as all other persons and groups.

Definitions

Markers, monuments, or artwork include all types of features that are erected, affixed, or otherwise installed on any institutional building or land for a time period extending beyond 14 days.

Non-permanent markers, monuments, or artwork would be those meeting the criteria described in Policy 16.24, Section IV concerning signs displayed for 14 days or less.

General

Markers, monuments, or artwork including historical markers or signs, may be placed on or removed from campus when it is in the best interest of the university. ~~A committee will review all such requests. Nominations for a new marker, monument, or artwork and applications for removal of an existing marker, monument, or artwork may be found on the Physical Plant Department (PPD) website.~~ *The university master plan committee can review requests and make recommendations to the President's cabinet who will review location and design. The president will make the final determination on requests for non-permanent markers, monuments, or artwork. The president will make a recommendation to the Building & Grounds Committee of the Board of Regents for all other requests.*

Markers, monuments, or artwork placed on campus without prior written permission will be removed by the PPD. Removed items will be held for sixty (60) days prior to disposal. Notification will be provided if possible.

~~Committee~~

~~The vice president of finance and administration will appoint a markers, monuments, and artwork committee that includes one representative from each of the following: development, alumni, faculty, physical plant, university marketing and communications, and a student representative. Each faculty~~

~~and staff member will serve on the markers, monuments, and artwork committee for a term of two (2) years, with the possibility of reappointment. The SFA student representative will serve a term of one (1) year with the possibility of reappointment. The markers, monuments, and artwork committee will review all nominations for markers, monuments, and artwork as well as applications for deaccession of markers, monuments, and artwork. Upon review of the nominations and applications by the markers, monuments, and artwork committee, recommendations will be made to the vice president of finance and administration for final approval.~~

New Marker, Monument, or Artwork

Upon receipt of a ~~nomination~~ *request* for a new marker, monument, or artwork by a university stakeholder, ~~the markers, monuments, and artwork committee will review the nomination for a new marker, monument, or artwork for the following~~ *the university can consider the following*:

- Preservation of the beauty of the SFA campus;
- Historical significance;
- Advancement of the university's educational mission;
- Building access and campus circulation is not impeded;
- Size, scope, and relevance;
- Copyright;
- Safety;
- Prominence and location on campus;
- Aesthetic merit;
- Funding for costs including installation, maintenance, and insurance.

Please note that each marker, monument, or artwork ~~nomination~~ *request* will be considered individually based on the SFA campus master plan and SFA policy and procedure as well as current and future costs. The ~~markers, monuments, and artwork committee and/or the vice president of finance and administration~~ *University* reserves the right to refuse ~~nominations~~ *requests* for markers, monuments, and artwork after review of the ~~nomination~~ *request*.

Deaccession

Upon receipt of ~~an application~~ *a request* to remove a marker, monument, or artwork by a university stakeholder, ~~the markers, monuments, and artwork committee will review the application for the following~~ *the university can consider the following*:

- Safety;
- Aesthetic merit;
- Historical significance;
- Accidental loss or destruction;
- Repatriation;
- Educational value;

- Building access;
- Size, scope, and relevance;
- Condition;
- Prominence and location on campus;
- Cost of maintenance and insurance.

Please note that each marker, monument, and artwork ~~application~~ *request* for removal will be considered individually based on the SFA campus master plan and SFA policy and procedure as well as current and future costs. The ~~markers, monuments, and artwork committee and/or the vice president of finance and administration~~ *university* reserves the right to refuse ~~applications~~ *requests* for removal of markers, monuments, and artwork after review of the application.

Exceptions to ~~Committee~~ Review

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

Monuments will be purchased by the individual or group desiring to place the monument on the walk. Installation will be by PPD. The PPD will provide maintenance at the same level as the existing walk. Markers that are broken or otherwise damaged or lost will not be the responsibility of PPD. Requests to place a marker should be directed to the director of the physical plant.

The Walk of Recognition (located at SFA fountain plaza) includes markers and bricks as coordinated through the SFA Alumni Association. Requests and guidelines for placement of markers and bricks at the Walk of Recognition are established by the SFA Alumni Association separate from this policy.

Cross Reference: Signs and Exhibits (16.24)

Responsible for Implementation: Vice President for Finance and Administration*; Vice President for University Advancement*

Contact for Revision: Vice President for Finance and Administration*; Vice President for University Advancement*

Forms: ~~Nomination for a New Monument, Marker or Artwork, Application for Removal of an Existing Monument, Marker or Artwork on PPD website~~*None*

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Skating, Skateboarding, and Motorized Scooters

Policy Number: 13.20

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

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:

Definitions added and text updates for clarification.

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
John Fields, Chief of Police
Damon Derrick, General Counsel

Skating, Skateboarding, and Motorized Scooters

Original Implementation: January 24, 1989
Last Revision: April *11*~~30~~, 202*2*~~19~~

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

Definitions~~:~~

Skateboard *is* – a non-motorized device where two or more wheels are attached to a platform upon which the rider stands.

Rollerblades are *a* –shoe or device that attaches to a shoe, having one or more sets of wheels.

Hover Board *is* – a motorized personal vehicle consisting of a platform for the feet mounted on two wheels and controlled by the way the rider distributes their weight.

Motorized Scooters -*are*– ~~a~~ power stand-up scooter*s* using a small unit gas engine or electric motor.

Regulations~~:~~

1. Persons choosing to ride a skateboard or use rollerblades may do so as a means of transportation only on sidewalks while on the university campus.
2. Persons riding a skateboard or rollerblades shall keep all of the wheels on the ground while operating them as a means of transportation. At no time shall a rider perform any stunts or acts that could be deemed as stunts, or act in a way that impedes pedestrian traffic on the sidewalks.
3. The rider shall refrain from using a skateboard or rollerblades on any public street, parking garage facility, Homer Bryce Stadium, Johnson Coliseum, or in any building.
4. Persons riding a skateboard or rollerblades shall yield the right of way to all pedestrians, motorized vehicles, and bicycles.
5. Persons riding a skateboard or rollerblades shall not ride in or around any areas of construction on the university campus.
6. The use or storage of hover boards on campus is prohibited.
7. Motorized scooters *and motorized skateboards* are prohibited on campus unless prescribed by a qualified medical provider with appropriate medical documentation. Students must also receive approval by the Office of Disability Services.

8. Events that have been prearranged, with proper facility reservations, approval from the University Police Department, and under the direct supervision of the Campus Recreation Department, such as skateboarding club or rollerblading club practices and competitions, are not subject to these regulations.

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

Cross Reference: Accessibility for Persons with Disabilities (2.2); Parking and Traffic ~~Regulations~~ (13.14), as related to bicycles

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

Contact for Revision: Chief of University Police

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Solicitation on Campus

Policy Number: 16.25

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 of Student Affairs

Purpose of Policy (what does it do):

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Adjusted policy to refer alleged violations of this policy to the appropriate office for students or employees. Also updated references to comply with new law.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Student Affairs 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

Solicitation on Campus

Original Implementation: July, 1980
Last Revision: April ~~20, 2021~~*11, 2022*

Definitions

1. Solicitation means the sale or offer for sale of any property or service, whether for immediate or future delivery, and the receipt of, or request for, any gift or contribution. However, this term does not apply to an appointment between a student or employee~~,~~ and another person (solicitor)~~,~~ if the appointment does not interfere with or disturb the normal activities of the student or employee, or the university.
2. Campus shall mean all real property over which the university has possession and control by law.
3. University group shall mean a recognized student, faculty, or staff organization.
4. Outside group shall mean any organization or group that is not included within the term "university group."
5. University agent shall mean a person acting in the course and scope of that individual's employment on behalf of an academic college, department, or program, or a university council, committee, or auxiliary enterprise.
6. University function shall mean any activity directly sponsored by the university.
7. University department shall mean any academic or administrative department of the university.

Time, Place, and Manner Regulations

1. No solicitation shall be conducted in any building or structure on the campus. However, the following activities shall not be deemed to be solicitations prohibited by this section:
   a. From the day the residence halls open through the first day of classes each semester, the sale or offer for sale of any newspaper in an area designated by the appropriate university official.
   b. The distribution, sale or offer for sale of any newspaper, magazine, or other publication by means of a vending machine or rack in an area designated in advance by the appropriate university official.
   c. The sale or offer for sale of any food or drink item by means of a vending machine in an area designated in advance by the appropriate university official.
   d. The sale or offer for sale of any publication of the university or of any book or other printed material to be used in the regular academic work of the university.
   e. The operation by the university or its subcontractor of any bookstore, specialty store, laundry service, dining and retail facilities, student center, or other service facility maintained for the convenience of the students, faculty, and staff.
   f. The sale or offer for sale by the university or its sub-contractor of food and drink items,

programs, and tickets at athletic contests.

g. The collection of membership fees or dues by a university group.
h. The collection of admission fees for the exhibition of movies or other programs that are sponsored by the university, or a university group, and are scheduled in accordance with the Use of University Facilities (16.33) policy.
i. The posting of ads and for sale notices in newspapers or on campus kiosks designated for such purposes by the appropriate university official, provided that such ads and notices posted on bulletin boards conform to the Expressive Activities (16.4) policy.
j. University recognized groups conducting fund raising activities approved by the appropriate university official. The university requires that only members of the group approved to conduct fundraising may solicit directly. Non-members may not be used to solicit on behalf of the organization.
k. Other solicitation activities as approved by the appropriate university official.

2. No solicitation shall be conducted on the grounds, sidewalks, and streets of the campus except by:
   a. a university agent; or
   b. a university group.
3. Solicitation to buy complimentary copies of textbooks are specifically prohibited anywhere on the campus or in any building.
4. Only university departments and the SFA Alumni Association may be approved to solicit as agents of a commercial organization.
5. Solicitation conducted on the campus must not:
   a. disturb or interfere with the regular academic or institutional programs of the university;
   b. interfere with the free and unimpeded flow of pedestrian and vehicular traffic on the sidewalks and streets and at places of entry and exit to university buildings;
   c. harass or intimidate the person or persons being solicited; or
   d. violate an exclusivity agreement entered into with the university.

~~6.~~ *If an employee or faculty or staff organization violates the provisions of this policy, the incident should be reported to Human Resources.* If a~~n~~ ~~individual~~ *student* or *student* group violates the provisions of this policy, ~~the appropriate university official, with the approval of the vice president to whom that individual reports, may prohibit the offender from engaging in any solicitation on the university campus for a specified period~~

~~7.~~*6.*~~of time not to exceed one (1) year~~*an incident report should be filed with the Dean of Students Office. Any violations by an outside group should be reported to the Vice President for Finance and Administration.* In the case of a repeated violation of these rules, the following sanctions ~~shall~~ *may* apply:

   a. ~~The appropriate university official with the approval of the vice president to whom the individual reports~~*The Assistant Vice President of Student Affairs and Dean of Students, or their Designee*, may suspend or cancel the recognition status of an offending student organization.
   b. *The appropriate university official* ~~The appropriate university official, with the approval~~

~~of the vice president to whom the individual reports,~~ may suspend the use of university facilities by an offender in accordance with the Penalty and Hearing section of the Use of University Facilities (16.33) policy;

c. The university may prosecute an offender for trespass in accordance with Chapter 51 of the Texas Education Code.

Procedures for Conducting Raffles on Campus

1. University groups authorized to conduct raffles under the Charitable Raffle Enabling Act (Tex. Occ. Code Ch. 2002) may conduct raffles on campus
2. All proceeds from the sale of tickets must be spent for the charitable purposes of the organization.
3. The qualified university group is limited to ~~two~~ *four* (~~2~~*4*) raffles per calendar year (January 1 - December 31) and may not conduct more than one (1) raffle at a time. This will be monitored by the Office of Student Engagement ~~Programs~~ within the Division of Student Affairs.
4. The sponsoring university group may not promote the raffle through television, radio, newspaper, or other medium of mass communication by the use of paid advertising, or promote or advertise statewide, other than on the university group's internet website or through a publication or solicitation, including a newsletter, social media or e-mail, provided only to previously identified supporters of the university group, or sell or offer to sell tickets for the raffle statewide.
5. The university group conducting the raffle may not compensate a person directly or indirectly for organizing or conducting a raffle or for selling or offering to sell tickets to the raffle, unless that person is employed by the university group and the work organizing or conducting the raffle is no more than a de minimis portion of that person's employment with the university group. Persons who are not members of the university group may not sell or offer tickets to the raffle.
6. The university group conducting the raffle must have the prize in its possession or post bond for the full amount of the money value of such prize before raffle tickets are sold. The prize awarded at a raffle may not be money and the value of the prize may not exceed $~~2~~75,000. The following must be printed on each raffle ticket sold or offered for sale:
   a. the name of the university group conducting the raffle and the address of the organization or of a named officer of the organization;
   b. the price of the ticket; and
   c. a general description of each prize that has a value of more than $10 and is to be awarded in the raffle.

Financial Policies of Student Organizations

1. The Vice President *of*~~for~~ Student Affairs or designee may request a financial statement of any student organization at any time. The requirements of the financial statement shall be established by the *Assistant Vice President of Student Affairs and Dean of Students, or their*

Designee~~dean of student affairs~~.

2. Any registered student organization failing to comply with the provisions of this section may be subjected to sanctions provided by the Time, Place, and Manner Regulations section.

Additional Rules

In addition to these rules, solicitation conducted in:

a. residence halls must comply with the rules governing residence halls.
b. the Baker Pattillo Student Center must comply with the rules governing the Baker Pattillo Student Center; and
c. academic buildings must comply with the rules governing academic buildings.

Cross Reference: U.S. Const. amend. I; U.S. Const. amend. XIV, §1; Charitable Raffle Enabling Act, Tex. Occ. Code Ch. 2002; Tex. Educ. Code §§ 51.204, .209, 101; Use of University Facilities (16.33); Expressive Activities (16.4)

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

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

Forms: Fundraising Approval

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Space Assignment, Management, and Planning

Policy Number: 16.3

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

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

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

Purpose of Policy (what does it do): This policy establishes the process for assignment, reassignment, management, planning, and modification of Stephen F. Austin State University space to promote the most efficient stewardship of this limited resource.

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 Physical Plant Director
Damon Derrick, General Counsel

Space Assignment, Management, and Planning

Original Implementation: January 29, 2019
Last Revision: ~~None~~*April 11, 2022*

Purpose

This policy establishes the process for assignment, reassignment, management, planning, and modification of Stephen F. Austin State University space to promote the most efficient stewardship of this limited resource.

Definitions

Space means all interior buildings and facilities and exterior areas owned or leased by the university.

Educational and general (E&G) space means an area which is used for academic instruction, research, and support of the institution's mission. It does not include space that is permanently unassigned, or space used for operations independent of the institution's mission.

Auxiliary enterprise space are buildings and facilities that are managed as essentially self-supporting activities. Examples are residence halls, food services, student health services, intercollegiate athletics, retail spaces, campus recreation, and student center spaces.

Space management refers to oversight of all university space and the assignment and reassignment of such to remain in compliance according to this policy and state and federal codes, regulations, and laws.

Space planning means the creation of ideas, solutions, and recommendations for space-related needs.

Space assignment means allocating/designating space ~~to~~ *for use by* a particular individual or unit.

Space reassignment means reallocating/re-designating space ~~from~~ *for use by* one individual or unit to another.

Routine maintenance includes expenditures made for the normal upkeep of physical properties (i.e. land, buildings, and equipment) including recurring, preventive, and on-going maintenance necessary to delay or prevent the failure of critical and non-critical building systems and excludes work that requires emergency attention, alters the structure, or supports an event.

General

Stephen F. Austin State University (not any group, individual, or unit within it) owns and/or controls all interior and exterior spaces on campus as well as additional properties off-campus including leased properties. All space decisions are based upon the Higher Education Coordinating Board (THECB) space utilization requirements and aligned with academic, research, clinical, administrative, or community engagement needs which are consistent with the strategic initiatives of the university. The assignment, reassignment, alteration, and/or reclassification of space are made to meet the overall needs and best interests of the university. Oversight and management of space will remain in compliance with this policy and state and federal codes, regulations, and laws.

Space Assignment, Reassignment, Construction and/or Renovation

Assignment and utilization of university space shall be the decision of the president or his/her delegate, who is authorized to assign or reassign space to any unit on campus. The president may delegate such decision-making authority.

~~Space modification or design requests are required for all changes to university space including, but not limited to reassignment, reclassification, and changes to capacity, use, or function, and alteration or renovation not considered routine maintenance. Space modification or design requests are~~ *Changes to the use of space are* reviewed by the space ~~modification~~ *assessment* committee and*/or the university master plan committee and* recommendations are *made to the cabinet for final review.* ~~submitted to the provost and vice president for academic affairs and to the vice president for finance and administration for final approval regarding E&G space and to the vice president for university affairs and to the vice president for finance and administration for final approval regarding auxiliary space.~~

Vacated Space

Space vacated within an academic or administrative unit due to normal employee turnover may remain internally assigned within that unit at *the* discretion of the president or his/her designee. Space vacated by an academic or administrative unit that occurs due to a permanent reduction in workforce, downsizing or elimination of a unit, reorganization, or relocation reverts to the university administration for re-assignment.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: President

Forms: Request for space modification or design is located on the SFA business forms webpage.

Board Committee Assignment: Building and Grounds

Academic and Student Affairs Committee

ENHANCING ENROLLMENT WITH THE ADDITION OF STUNT ATHLETIC PROGRAM

Explanation:

Knowing SFA's enrollment is of high importance, it is important to introduce strategies and tactics that can positively contribute to SFA's enrollment and have an on-going contribution to the enrollment.

STUNT is considered to be one of the fastest growing sports in the country. *STUNT is a new female sport that incorporates skills derived from cheerleading. STUNT is an exciting head-to-head game between two teams who execute skills-based routines in various categories – partner stunts, jumps & tumbling, pyramids & tosses, and team routines.* Adding a STUNT program at SFA would be separate from Cheer; thus, truly adding to enrollment and avoiding double dipping.

Adding STUNT is an initiative that grows First Year and Undergraduate populations. Growing enrollment within this population is key as a First-Year student on average generates 14.5 credit hours a semester and contributes to undergraduate enrollment for four-six years. This population also generates significant auxiliary funding due to on-campus residential requirement for a student's first two years. Adding a STUNT program would provide an enrollment increase of 35 first year students in 2023, which alone would be a 2.1% increase of the First-Year students entering in fall 2021. The program would grow in year two and target an ongoing roster of 50 undergraduate students.

The current STUNT status in Texas and bordering states:

	Club	Varsity/Sport	NCAA Division
Texas publics	Texas Tech Univ UT Austin	Texas Woman's Univ UT Tyler	II II
Texas privates		Austin College Dallas Baptist Univ Saint Mary's Univ	III II II

Border states	Southern Arkansas (AR) Connors State (OK) Oklahoma State (OK) Southwestern Christian (OK)	Centenary College (LA) Oklahoma Baptist (OK) Oklahoma City (OK)	III II NAIA

STUNT does not compete at a division level. However, adding STUNT would make SFA the only Division I school within a five-state area with STUNT listed as a Women's Sports. This could definitely serve as a positive in recruitment.

Additional factors to consider:

- The budget model for the STUNT program is designed to be self-sustainable.
- There is a growing number of STUNT clubs/programs at Texas high schools and clubs; particularly in our DFW and Houston markets.
- Once SFA has a STUNT program established, there would be opportunity to serve as a host site for STUNT tournaments that would bring groups of high school aged students (and their families) to campus.
- The city of Nacogdoches would also experience a positive impact to its economy with the addition of STUNT by serving as a host site for games, tournaments, workshops.

Recommendation:

The administration recommends enhancing enrollment by adding STUNT to the SFA Athletics program for fall 2023.

STEPHEN F. AUSTIN
STATE UNIVERSITY
NACOGDOCHES, TEXAS

Board of Regents – Action Item for April 2022

Action Item - Enhancing enrollment with the addition of STUNT athletic program.

Explanation: This proposal aligns with the strategy to grow enrollment by focusing on initiatives that grow First Year and Undergraduate populations. Adding STUNT would provide an enrollment increase of first year students in 2023, it would grow in year two and sustain an ongoing contribution to increasing SFA's undergraduate enrollment.

STUNT is considered to be one of the fastest growing sports in the country. *STUNT is a new female sport that incorporates skills derived from cheerleading. STUNT is an exciting head-to-head game between two teams who execute skills-based routines in various categories – partner stunts, jumps & tumbling, pyramids & tosses, and team routines.* Adding a STUNT program at SFA would be separate from Cheer; thus, truly adding to enrollment and avoiding double dipping.

Cross Divisional Collaboration:

Enrollment Management, in collaboration with Student Affairs and Athletics, is leading this proposal to benefit enrollment of undergraduate students. STUNT is considered to be one of the fastest growing sports in the country. Both Athletics and Spirit have been monitoring STUNT as a sport and have been assessing the benefits to the University. The team has met with Amy Haney from USA Cheer to gather information on adding STUNT at SFA. The addition of a STUNT program would be separate from Cheer; the program would not pull from Cheer; thus, truly adding to enrollment and avoiding double dipping. Steps are underway to transition Spirit Team under Athletics, which would align with adding STUNT to Athletics. Enrollment Management sees this as an opportunity to target an audience that would positively contribute to the SFA culture and community.

Enrollment Benefits:

- Increase of 35 students year one (2023), growing into 50 students in 2024 and forward.
- Generate approximately 1000 SCH in first academic year; and 1,400 SCH in subsequent academic years.
- Projected university retention of 90% for STUNT team based on successful university retention of Cheer and Dance programs.
- Student type that would live on campus, generating additional auxiliary funds.
- Supports diversity of sports program (gender based). Title IX compliant.

The current STUNT status in Texas and bordering states:

	Club	**Varsity/Sport**	**NCAA Division**
Texas publics	Texas Tech Univ UT Austin	Texas Woman's Univ UT Tyler	II II
Texas privates		Austin College Dallas Baptist Univ Saint Mary's Univ	III II II
Border states	Southern Arkansas (AR) Connors State (OK) Oklahoma State (OK) Southwestern Christian (OK)	Centenary College (LA) Oklahoma Baptist (OK) Oklahoma City (OK)	III II NAIA

STUNT does not compete at a division level. However, adding STUNT would make SFA the only Division I school within a five-state area with STUNT listed as a Women's Sports. This could definitely serve as a positive in recruitment.

The Texas public colleges with STUNT are spread out across the state. Based on location, the school with an existing STUNT program that would compete the most with an SFA STUNT program would be UT Tyler. It is a school that SFA regularly has overlap in undergraduate applications. Currently, the DFW market is the most saturated with STUNT programs having TWU (Denton), Austin College (Sherman) and Dallas Baptist University (Dallas).

A STUNT program at SFA would be considered as a collegiate sport, this sport does not compete at a division level. However, adding STUNT to SFA Athletics would make SFA the only Division I school in the state with STUNT listed as a Women's Sports. This could definitely serve as a positive in recruitment.

Recruiting at the college level targets existing high schools and clubs with STUNT athletes, cheerleaders, gymnasts, and weightlifters. SFA's current Spirit Coach is familiar with combine and/or tournament venues to recruit for STUNT program; having an established knowledge and experience with the recruitment landscape will prove beneficial in recruiting for this sport. Once SFA has a STUNT program established, there would be opportunity to serve as a host site for STUNT tournaments that would bring groups of high school aged students to campus. This would not only benefit recruitment for the STUNT program, but it would serve as a tactic to have prospective high school students experience SFA.

The city of Nacogdoches would also experience a positive impact to its economy with the addition of STUNT. Once established, SFA would be in a position to serve as a host site for tournaments or game. A STUNT game usually hosts 12-14 teams. This would bring in family to the city to watch their student athlete, generating lodging and restaurant activity. In addition to tournaments, SFA could serve as host site for combines which targets high school aged

students; combine size can range from 75-100 students. This type of activity would also generate exposure and economic activity for the city.

Proposed Budget:

The budget model for the STUNT program is designed to be self-sustainable. Scholarship expense would be funded by tuition and fee revenue generated from the STUNT student athletes. Program expenses would be covered first; additional funds generated would be provided to the institution's general revenue fund. The cost to implement a STUNT program is considered low cost; however, it is a sport that can produce high profit margins. Onboarding costs can be low due to low equipment costs (already have mats), facility, and game operations.

Below outlines a proposed budget outlining expenses and revenue generation related to implementing STUNT.

Expenses		**Revenue**	
Team Travel	$25,000	Tuition/Fees (Scholarship S/As)	$75,000
Recruiting	$5,000	Tuition/Fees (Non-Scholarships S/As)	$455,000
Scholarships	$75,000	Self-generated Revenue	$25,000
Salary/Benefits	$65,000	Auxiliary (room, board, parking)	$340,025
O&M	$25,000		
TOTAL	$195,000.00	TOTAL	$895,025.00

Revenue addition to institution (w/ scholarship)	$700.025
Revenue addition to institution (w/o scholarship)	$625,025

Targeted Timeline:

- Jan – Feb, 2022 Information gathering. Draft proposal
- February Present to Cabinet for approval.
- March 22 Prepare for Board Action Item
- April 10-12 Board of Regents Agenda Item
- Summer Prepare Recruitment Plan and Marketing Materials
- Aug – Oct Attend fall recruiting combines (8-10 in fall)
- Spring 2023 Recruit 35 student athletes for STUNT program

- Fall 2023 Enroll SFA's first STUNT team
- Fall 2024 Expand program from 35 to 50
- Fall 2024 Plan for SFA serving as a host site for STUNT tournaments

Recommendation: The administration recommends enhancing enrollment by adding STUNT to the SFA Athletics program to go into effective for fall 2023.

EXTEND THE TEST-OPTIONAL ADMISSION REQUIREMENT FOR 2023 TERMS

Explanation:

In response to the pandemic, the SAT/ACT test administration has been disrupted due to limited test sites and/or space at test sites since spring 2020. High school students preparing for college continue to find taking the SAT/ACT a challenge.

Current policy 6.20 requires first-semester freshman to submit official test results from either the ACT or the SAT. If an applicant does not have an official ACT/SAT test score, their application is considered incomplete and is not processed or reviewed for admissions.

Since spring 2020, the SAT/ACT requirement for first-year applicants was waived a total of three times for 2020, 2021, and 2022 terms. The waiving of the SAT/ACT requirement was done under the authority given to Dr. Gordon to modify university policies during the impact period of COVID.

SAT/ACT test administrations continues to be a challenge with limited space at test sites or lack of test sites themselves. Preparation is under way for the recruitment and application season for 2023. The ApplyTexas opens July 1, 2022 for fall 2023.

A number of four-year institutions have confirmed the continuation of a test-optional practice for the 2023 terms. It is important SFA remains comparable and competitive with other Texas four-year institutions.

Recommendation:

Based on this information, Enrollment Management is requesting to have University Policy 6.20, Undergraduate Admissions and Credits extend the test-optional admission practice for all 2023 terms. Enrollment Management is recommending that the University continue to waive the college entrance exam (SAT/ACT) requirement for the 2023 terms. Applicants who submit all other application requirements, minus the SAT or ACT, will continue to be reviewed holistically through individual file review with an emphasis put on high school academic performance.

STEPHEN F. AUSTIN
STATE UNIVERSITY
NACOGDOCHES, TEXAS

Board of Regents – Action Item for April 2022

Action Item – Extend the test-optional admission requirement for 2023 terms.

Explanation: In response to the pandemic, the SAT/ACT test administration has been disrupted since spring 2020. Due to limited test sites and/or space at test sites, high school students preparing for college continue to find taking the SAT/ACT a challenge.

Currently, policy 6.20 requires first-semester freshman to submit official test results from either the ACT or the SAT. If an applicant does not have an official ACT/SAT test score, their application is considered incomplete and is not processed or reviewed for admissions.

WHY: The request is being made with the following factors in mind:

- Due to COVID-19 SAT test administrations continues to be a challenge with limited space due to appropriate social distancing or lack of test sites. The test requirement was waived in mid-spring 2020 and has continued to be waived for 2021 and 2022 terms.
- Continuing test optional would provide a full cohort to come through and assess retention for one full year. One year retention for cohort fall 2021 class will be available in fall 2022. This will also give the University, with all appropriate parties involved, time to research the impact of permanently moving to a test-optional practice.
- ApplyTexas opens July 1 for fall 2023 and we are having schools, students and parents asking if we will be test optional in 2023.
- It is important to remain competitive with other Texas four-year institutions. As of March 18, 2022, test-optional accommodations, utilizing holistic review continues to be practiced by the following Texas institutions:

University	Test-optional direction	Notes
Angelo State	Extend to Fall 2023	Confirmed
Lamar	Permanently Test-Optional	Confirmed
Texas State University	Extend to Fall 2023	Presenting to BOR with language to continue practice for future terms with having to return for BOR approval.
Sam Houston University	Extend to Fall 2023	Expanded test optional into future, option to change criteria based on student success data
Trinity University	Test-Optional 2021 to 2023	Confirmed
Texas Tech University	Extend to Fall 2025	Confirmed
Texas Woman's University	Extend to Fall 2023	Confirmed
UT San Antonio	Extend to Fall 2023	Waiting for UT System approval
UNT	Permanently Test-Optional	Confirmed
Texas A&M University	Extend to Fall 2023	Waiting for BOR approval
University of Houston	TBD	Gathering data for recommendation
University of Texas Arlington	Extend to Fall 2023	Waiting on UT System approval
UT Austin	TBD	Waiting on UT System approval
UT San Antonio	Extend to 2023	Waiting for BOR approval
UT Tyler	TBD	Still being decided

Recommendation: Based on this information, Enrollment Management is requesting to have University Policy 6.20, Undergraduate Admissions and Credits extend the test-optional admission practice for all 2023 terms. Enrollment Management is recommending that the University continue to waive the college entrance exam (SAT/ACT) requirement for the 2023 terms. Applicants who submit all other application requirements, minus the SAT or ACT, will continue to be reviewed holistically through individual file review with an emphasis put on high school academic performance.

CURRICULUM CHANGES FOR 2022-23

Explanation:

Changes in curriculum originate in the departments and are reviewed by the colleges and university curriculum committees, the graduate council, the appropriate dean and the provost and vice president for academic affairs. After approval by the Board of Regents curriculum changes are submitted to the Texas Higher Education Coordinating Board.

Recommendation:

It is recommended by the administration that the Board of Regents approve the undergraduate and graduate curriculum changes as presented to be effective fall 2022.

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Undergraduate Program Additions (Submitted for board approval April 2022)	
Nelson Rusche College of Business	
College of Business	
Economics	Banking Essentials Certificate
James I. Perkins College of Education	
Human Sciences	Aviation Minor
Human Sciences	Interior Design Certificate
Human Sciences	Composite Certification Concentration Human Sciences BS
Human Sciences	Technology Software Applications for the Built Environment Certificate
College of Fine Arts	
Theatre	Musical Theatre Minor
Theatre	Certificate in Acting
College of Sciences & Mathematics	
Computer Science	Data Analytics, Minor

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Undergraduate Program Modifications (Submitted for board approval April 2022)	
Nelson Rusche College of Business	
Accounting	Accounting, BBA
Bus Com & Legal Studies	General Business, BBA
Bus Com & Legal Studies	Business Communication and Corporate Education, BBA
Economics	Banking , BBA
Economics	Business Economics, BBA
Economics	Economics, BA
Economics	Finance, BBA
Mgt and Marketing	Digital Business Minor
Mgt and Marketing	Entrepreneurship, BBA
Mgt and Marketing	Human Resource Mgt, BBA
Mgt and Marketing	International Business, BBA
Mgt and Marketing	Management, BBA
Mgt and Marketing	Marketing, BBA
Mgt and Marketing	Sports Business, BBA
James I. Perkins College of Education	
Education Studies	Deaf and Hard of Hearing BS
Education Studies	Deaf Studies Minor
Education Studies	Education Studies Concentration, BSIS
Human Sciences	Aviation, BS
Human Sciences	Construction Mgt BS
Human Sciences	Construction Mgt Minor
Human Sciences	Construction Mgt Certificate
Human Sciences	Dietetics and Nutritional Sciences, BS
Human Sciences	Food and Nutrition, BS
Human Sciences	Food and Nutrition Minor
Human Sciences	Nutrition in Healthcare, Minor
Human Sciences	Family and Consumer Sciences Conc, Humans Sciences, BS
Human Sciences	Hospitality Administration, BS
Human Sciences	Interior Design, BS
Human Sciences	Interior Design Minor
Human Services	Public Health, BS
Kinesiology	Public Health Minor
College of Fine Arts	
Music	Jazz Studies, Minor
College of Forestry & Agriculture	
AGS	Sustainability Minor
College of Liberal & Applied Arts	
English and CW	English, BA
Government	Pre-Law Minor
LCC	Leadership Minor

Undergraduate Curriculum Changes Fall 2022

Multidisciplinary Programs	BAAS
Multidisciplinary Programs	Leadership Minor
Psychology	Psychology Major
College of Sciences & Mathematics	
Biology	Biology, BS
Chemistry	Chemistry, BS
Chemistry	Biochemistry, BS
Computer Science	Computer Information Systems, BS
Computer Science	Computer Science, BS
Computer Science	Data Analytics, BS
Computer Science	Information Technology, BA
Math	Mathematics, BS
Physics-Engr	Electrical Engineering, BS
Physics-Engr	Engineering Physics, BS
Physics-Engr	Mechanical Engineering, BS
Physics-Engr	Physics, BS

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Undergraduate Program Deletions	
(Submitted for board approval April 2022)	
College of Fine Arts	
Music	Pre-Certification: Elementary, BM
Music	Music, Teaching: Elementary Music, BM
College of Sciences & Mathematics	
Physics-Engr	Physics-Engineering Dual Degree Conc

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Undergraduate Course Additions (Submitted for board approval April 2022)	
Nelson Rusche Collge of Business	
Bus Com & Legal Studies	BUSI 1000
Economics	ECON 4360
Mgt and Marketing	MGMT 3333
Mgt and Marketing	MGMT 4373
James I. Perkins College of Education	
Education Studies	DFHH 3329
Human Sciences	HMSC 4150
Human Sciences	INDS 1326
Human Sciences	INDS 2370
Kinesiology	HLTH 2360
Kinesiology	HLTH 3360
Kinesiology	HLTH 4320
Kinesiology	HLTH 4350
College of Fine Arts	
Theatre	DRAM 2001
Theatre	DRAM 2301
Theatre	DRAM 3040
Theatre	DRAM 3340
Arthur Temple College of Forestry & Agriculture	
Agriculture	AGED 4353
Forestry	FORS 3000
Forestry	GISC 4002
Forestry	GISC 4302
College of Liberal & Applied Arts	
AGS	SOCI 4360
English and CW	ENGL 4390
Government	GOVT 4320
College of Sciences & Mathematics	
Dean's Office	JTCH 1203
Dean's Office	JTCH 2190
Dean's Office	JTCH 4190
Computer Science	CSCI 1462

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022)	
Undergraduate Course Modifications (Submitted for board approval April 2022)	
Nelson Rusche College of Business	
Economics	FINC 4375
Economics	FINC 4379
Economics	FINC 4385
Mgt and Marketing	MGMT 2372
Mgt and Marketing	MGMT 3372
Mgt and Marketing	MGMT 4170
Mgt and Marketing	MGMT 4344
Mgt and Marketing	MGMT 4363
Mgt and Marketing	MGMT 4385
Mgt and Marketing	MKTG 3355
Mgt and Marketing	MKTG 4325
Mgt and Marketing	MKTG 4355
Mgt and Marketing	MKTG 4357
James I. Perkins College of Education	
Education Studies	DFHH 3350
Education Studies	DFHH 3370
Education Studies	DFHH 4301
Education Studies	DFHH 4302
Education Studies	DFHH 4303
Education Studies	MLGE 4111
Education Studies	MLGE 4251
Human Sciences	CMGT 1119
Human Sciences	CMGT 1219
Human Sciences	CMGT 3114
Human Sciences	CMGT 3214
Human Sciences	CMGT 3316
Human Sciences	CMGT 3319
Human Sciences	HAMG 2313
Human Sciences	HAMG 2317
Human Sciences	HMSC 4100
Human Sciences	HMSC 4326
Human Sciences	INDS 1149
Human Sciences	INDS 1249
Human Sciences	INDS 1311
Human Sciences	INDS 1325
Human Sciences	INDS 1370
Human Sciences	INDS 2103
Human Sciences	INDS 2105
Human Sciences	INDS 2108
Human Sciences	INDS 2113

Human Sciences	INDS 2205
Human Sciences	INDS 2208
Human Sciences	INDS 2213
Human Sciences	INDS 2317
Human Sciences	INDS 3116
Human Sciences	INDS 3121
Human Sciences	INDS 3125
Human Sciences	INDS 3216
Human Sciences	INDS 3221
Human Sciences	INDS 3225
Human Sciences	INDS 3311
Human Sciences	INDS 4100
Human Sciences	INDS 4112
Human Sciences	INDS 4113
Human Sciences	INDS 4114
Human Sciences	INDS 4212
Human Sciences	INDS 4214
Human Sciences	INDS 4310
Human Sciences	INDS 4318
Human Sciences	RSTO 3301
Human Sciences	RSTO 3305
Human Sciences	RSTO 3325
Human Sciences	TRVM 4317
Kinesiology	DANC 1241
Kinesiology	DANC 1244
Kinesiology	DANC 1247
Kinesiology	HLTH 4170
Kinesiology	HLTH 4180
Kinesiology	KINE 4117
Arthur Temple College of Forestry & Agriculture	
Agriculture	HORT 2220
College of Liberal & Applied Arts	
English and CW	ENGL 1302
English and CW	ENGL 4374
Government	CRIJ 4342
Mass Communication	MCOM 3342
Mass Communication	MCOM 4330
Psychology	PSYC 3330
Psychology	PSYC 3341
Psychology	PSCY 3380
College of Sciences & Mathematics	
Biology	BIOL 1306
Biology	BIOL 3431
Biology	BIOL 3443

Biology	BIOL 3481
Biology	BIOL 4434
Biology	BIOL 4442
Biology	BIOL 4444
Biology	BIOL 4446
Biology	BIOL 4448
Biology	BIOL 4484
Chemistry	CHEM 1071
Chemistry	CHEM 1371
Computer Science	CSCI 3342
Computer Science	CSCI 3362
Computer Science	CSCI 4260
Computer Science	CSCI 4270
Computer Science	CSCI 4362
Dean's Office	JTCH 3311
Dean's Office	JTCH 4351
Dean's Office	JTCH 4901
Geology	GEOL 4310
Geology	GEOL 4333
Math	MATH 1351
Math	MATH 3180
Math	MATH 3325
Nursing	NURS 3158
Physics-Engr	ASTR 3305
Physics-Engr	ENGR 3301
Physics-Engr	ENGR 4145
Physics-Engr	ENGR 4341
Physics-Engr	ENGR 4342
Physics-Engr	ENGR 4353
Physics-Engr	ENGR 4354
Physics-Engr	ENGR 4355
Physics-Engr	PHYS 3347
Physics-Engr	PHYS 4372
Provost's Office	
Student Success Center	SFAS 1101

UNDERGRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Undergraduate Course Deletions (Submitted for board approval April 2022)	
College of Sciences & Mathematics	
Biology	BIOL 1113
Biology	BIOL 1313
Biology	BIOL 3050
Biology	BIOL 3350
Computer Science	BCIS 1305
Physics-Engr	PHYS 1018
Physics-Engr	PHYS 1318
Physics-Engr	PHYS 4010
Physics-Engr	PHSY 4410
College of Liberal & Applied Arts	
Psychology	PSYC 3041
Psychology	PSYC 3130

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Graduate Program Additions (Submitted for board approval April 2022)	
James I. Perkins College of Education	
Education Studies	Curriculum and Instruction, M.Ed.
College of Fine Arts	
Music	Performing Artist Cert
College of College of Liberal and Applied Arts	
English &CW	Advanced Cert in Professional Writing

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Graduate Program Modifications (Submitted for board approval April 2022)	
Nelson Rusche College of Business	
Accounting	Master of Prof Accountancy
James I. Perkins College of Education	
Education Studies	Teaching, MAT
Human Services	School Psychology for the Post-Bac, Ph.D.
Human Services	School Psychology, MA
Human Services	Applied Behavior Analysis Cert
Human Services	Applied Educational Psychology MA
Human Services	Athletic Director Conc
Human Services	Student Affairs and Higher Ed, MA
College of Liberal & Applied Arts	
English &CW	English, MA
English &CW	Adv English Pedagogy Cert
Government	National Security, MA
Government	National Security, MA, Thesis Option
Government	Public Administration, MPA
Psychology	Teaching College Psychology Certificate
College of Sciences & Mathematics	
CoSM Dean's Office	Natural and Applied Sciences, MS
Nursing	Family Nurse Practitioner, MSN
Nursing	Nursing Education, MSN

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Graduate Program Deletions	
(Submitted for board approval April 2022)	
College of Sciences & Mathematics	
Math	School Math Teaching, Middle-Level Conc, MS
Math	School Math Teaching, Secondary-Level Conc, MS

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Graduate Course Additions (Submitted for board approval April 2022)	
Nelson Rusche Collge of Business	
Accounting	ACCT 5320
James I. Perkins College of Education	
Education Studies	CIED 5300
Education Studies	CIED 5301
Education Studies	CIED 5302
Education Studies	CIED 5303
Education Studies	CIED 5304
Education Studies	SEED 5345
Human Sciences	HUSC 5150
Human Services	SPSY 5315
Human Services	SPSY 6317
College of Liberal & Applied Arts	
Government	NISS 5316
Government	PADM 5190
Government	PADM 5389
College of Sciences & Mathematics	
Biology	BIOL 5355
Biology	BIOL 6018
Biology	BIOL 6318
Math	MATH 5378
Math	MATH 5388
Math	STAT 5360
Physics-Engineering	PHYS 5331

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022)	
Graduate Course Modifications (Submitted for board approval April 2022)	
James I. Perkins College of Education	
Education Studies	CIED 5305
Education Studies	SPED 5356
Education Studies	SPED 5600
Human Sciences	HDFS 5351
Human Sciences	NUTR 5339
Human Services	SAHE 5356
Human Services	SPSY 5304
Human Services	SPSY 5351
Human Services	SPSY 6334
Human Services	SPSY 6342
College of Fine Arts	
Music	MUTC 5363
Theatre	DRAM 5080
Theatre	DRAM 5380
College of Liberal & Applied Arts	
AGS	SOCI 5351
English &CW	ENGL 5302
English &CW	ENGL 5352
Government	NISS 5304
Psychology	PSYC 5328
College of Sciences & Mathematics	
Biology	BIOL 5189
Computer Science	CSCI 5312
Computer Science	CSCI 5322
Computer Science	CSCI 5345
Computer Science	CSCI 5348
Computer Science	CSCI 5362
Geology	GEOL 5190
Math	MATH 5186
Math	MATH 5187
Math	MATH 5189
Math	MATH 5190
Math	MATH 5375
Math	MTED 5186
Math	MTED 5187
Math	MTED 5189
Math	MTED 5190
Math	MTED 5385
Math	STAT 5186
Math	STAT 5187

Math	STAT 5189
Math	STAT 5190
Math	STAT 5385
Nursing	NURS 5362
Physics-Engineering	PHYS 5189
Physics-Engineering	PHYS 5320
Physics-Engineering	PHYS 5330
Physics-Engineering	PHYS 5332
Physics-Engineering	PHYS 5350
Physics-Engineering	PHYS 5351
Physics-Engineering	PHYS 5381

GRADUATE CURRICULUM CHANGES 2022/2023 (Effective Fall 2022) Graduate Course Deletions (Submitted for board approval April 2022)	
College of Education	
Education Studies	SEED 5391
Education Studies	SEED 5392
College of College of Liberal and Applied Arts	
Government	PADM 5176
Government	PADM 5375
College of Sciences & Mathematics	
Physics-Engineering	PHYS 5433

CURRICULUM CHANGE FOR SUMMER 2022

Explanation:

Changes in curriculum originate in the departments and are reviewed by the colleges and university curriculum committees, the graduate council, the appropriate dean and the provost and vice president for academic affairs. After approval by the Board of Regents curriculum changes are submitted to the Texas Higher Education Coordinating Board.

Recommendation:

It is recommended by the administration that the Board of Regents approve the graduate curriculum change as presented to be effective summer 2022.

GRADUATE CURRICULUM CHANGES -Effective Summer 2022 Graduate Course Additions (Submitted for board approval April 2022)	
Nelson Rusche College of Business	
Accounting	ACCT 5320

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:

Academic Accommodation for Students with Disabilities 6.1
Administrative Systems Software Changes 16.2
Compensation from Grants, Contracts and Other Sponsored Agreements 12.1
Discontinuance of Program or Academic Unit 5.9
Effort Reporting and Certification for Sponsored Activities 8.1
Email for University Communication 15.1
File Maintenance for Faculty Personnel Files 4.6
Financial Conflicts of Interest in Sponsored Activities 8.2
Guest Speaker 16.12
Grants and Contracts Administration 8.3
Institutional Animal Care and Use Committee (IACUC) 8.6
New Employee Orientation 11.17
News Releases 15.3*
Payments to Human Research Subjects 8.8
Reproduction of Copyrighted Works by Educators and Librarians 9.2
Student Records 2.10
University Publications 15.8*

*Note: Change includes a change in the policy name.
15.3 – News Releases and Media Contact
15.8 - University Publications, Mass Email, and Webpages

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Academic Accomodation for Students with Disabilities

Policy Number: 6.1

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

Date of last revision, if applicable: 4/30/2022

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

Purpose of Policy (what does it do): This policy helps SFA comply with ADA in regards to fundamental principles of nondiscrimination and accomodations of academic programs.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor updates 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
Michara DeLaney-Fields, Chief Diversity Officer
Damon Derrick, General Counsel

Academic Accommodation for Students with Disabilities

Original Implementation: July 14, 1998
Last Revision: April ~~30, 2019~~*11, 2022*

It is the policy of Stephen F. Austin State University to comply with the fundamental principles of nondiscrimination and accommodation in academic programs set forth in the implementing regulations for Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 (ADA), as amended by the Americans with Disabilities Act Amendments Act of 2008 (ADAAA).

The law provides that:

No qualified student with a disability will, on the basis of disability, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any academic, research, occupational training, housing, health insurance, counseling, financial aid, physical education, athletics, recreation, transportation, other extracurricular, or other postsecondary education aid, benefits, or services. [34 C.F.R. § 104.43(a)]

and

An institution will make such modifications to its academic requirements as are necessary to ensure that such requirements do not discriminate or have the effect of discriminating, on the basis of disability, against a qualified applicant or student with a disability. Academic requirements that the institution can demonstrate are essential to the instruction being pursued by such student or to any directly related licensing requirement will not be regarded as discriminatory. Modifications may include changes in the length of time permitted for the completion of degree requirements, substitution of specific courses required for the completion of degree requirements, and adaptation of the manner in which specific courses are conducted. [34 C.F.R. § 104.44(a)]

Neither Section 504 nor the ADA requires universities to lower their academic standards or substantially alter the essential elements of their courses or programs to accommodate students with disabilities. The requirement to provide reasonable accommodations is designed to afford an equal opportunity for students with disabilities. Achieving reasonable accommodations for a student with a disability involves shared responsibility among students, faculty and staff.

Should *a student be denied* ~~the university deny~~ a requested accommodation, ~~it~~*the university* must be prepared to show that complying with the request would constitute a fundamental alteration; the unsubstantiated opinion of a faculty member or administrator may not be sufficient for that purpose. Moreover, the cost of the proposed modification is not usually sufficient reason for denying a requested accommodation.

~~The following accommodations are widely accepted in higher education:~~

- ~~Providing services such as readers, interpreters, and note-takers.~~
- ~~Allowing extra time for examinations, assignments and projects.~~
- ~~Permitting exams to be individually proctored, read orally, dictated, or typed.~~
- ~~Recording lectures.~~
- ~~Using computer software for assistance in studying and on tests.~~
- ~~Using alternative testing formats to demonstrate course mastery.~~
- ~~Changing classrooms as needed for accessibility.~~

Who must be accommodated?

Students who are requesting support services from SFA are required to submit documentation through ~~the Office *office* of~~ Disability Services to verify eligibility for reasonable accommodations. Students are not required to assume the responsibility for securing a necessary accommodation. The university will review and evaluate that documentation and, when required under law, provide reasonable accommodations for a student's known disability so that the student has an equal opportunity to participate in the courses, activities or programs.

When additional expertise beyond that of the staff of ~~the Office *office* of~~ Disability Services is needed to assess a student's documentation, the Academic Assessment Committee, consisting of members of ~~the~~ faculty *and staff* who are knowledgeable about disabilities~~, and staff members~~, ~~including the ADA coordinator,~~ will evaluate the documentation, request additional information if required, and make a recommendation to ~~the Office *office* of~~ Disability Services.

Documentation must validate the need for services based on the individual's current level of functioning in an educational setting. If the documentation is found to be insufficient, the university is not obliged to provide accommodations. If the documentation is found to be sufficient, appropriate accommodations are recommended.

What accommodations must be provided?

Students with disabilities may be accorded two types of accommodations: they may be permitted to substitute particular courses for some of those required under their degree requirements, or they may be afforded approved accommodations within the courses they take.

If a course substitution is requested, the request must be received by the academic department that teaches the course to be deleted from the student's requirements no later than the semester prior to one in which the student proposes to take one or more of the substitute courses. Ordinarily the request should arrive at ~~the department office~~*the academic department* before the ~~12th day of classes of a long semester, or the 4th day of classes of a summer session.~~*official reporting day of the appropriate part of term.*

Once received by the *academic* department, the course substitution request is considered by the academic unit head, who consults with ~~the Office *office* of~~ Disability Services before making a recommendation. The academic unit head's recommendation regarding substitution is forwarded to the student's academic dean. Employing the college's usual procedures for decisions about curricula, and consulting with other colleges as necessary, the dean makes the final determination about whether the requested substitution may be allowed, or does, in fact, represent a fundamental modification of the program in question. Before a course substitution is considered there should be evidence that even with reasonable accommodation the student cannot succeed in the required course.

Requests for accommodation within a particular course should, when possible, be received by ~~the Office *office* of~~ Disability Services before the beginning of the semester in which the student with a disability is to enroll in the course. Once received, the accommodation request is considered by *D*~~d~~isability *S*~~s~~ervices and, if required, by the Academic Assessment Committee. If the decision is to recommend against providing the requested accommodation, the student is informed. If it is decided that accommodation is to be provided, a record of that recommendation, together with a recommendation of the general type of accommodation to be provided is sent to the instructor of the subject course~~, with a notification to the academic unit head~~. The instructor then meets with the ~~disabled~~ student to work out precisely how the recommended accommodations are to be implemented in the context of the particular course and may consult with the academic unit head if needed. To make provision of appropriate accommodations as effective as possible, students with disabilities are to meet with instructors from whom accommodations are requested as early in the semester as possible.

The student, ~~the Office *office* of~~ Disability Services, the Academic Assessment Committee, the academic unit head, and the course instructor will cooperate to identify accommodations that meet the student's documented need without fundamentally altering the course.

Who must provide approved accommodations in a particular course?

Accommodations most commonly requested may include providing services such as readers, interpreters, and note-takers; allowing extra time for examinations, *assignments and projects*; using alternate ~~forms~~ *formats* ~~of~~ *and individualized proctoring methods for* examinations; recording lectures; using computer software for assistance in studying and on tests; and~~, on rare occasions,~~ relocating ~~the~~ classrooms *as needed for accessibility*. It is the responsibility of ~~the Office *office* of~~ Disability Services to provide readers, interpreters, and note-takers when needed. The instructor will cooperate with *D*~~d~~isability *S*~~s~~ervices in accommodating these service providers in the classroom.

The instructor's ~~It is the~~ responsibility *is* ~~of the instructor~~ to organize examinations so students with disabilities may be accorded extra time and special testing conditions when needed as an accommodation. When possible, special testing will be done within the offices of the academic department. When testing cannot be done in the department, *D*~~d~~isability *S*~~s~~ervices will provide secure facilities and supervision. In the event that exams are administered solely online, students with disabilities will be granted the exam accommodations under the same online conditions allowed for

other students enrolled in the course.

When special materials (e.g., Braille transcripts or audio recordings of course materials) are required, ~~it is~~ the joint responsibility of ~~the Office *office* of~~ Disability Services and the instructor *is* to arrange to make these materials available to the student. Such materials must be made available to students with disabilities at the same time that their equivalents are given to other students.

The ~~It is the responsibility of the~~ academic unit head*'s responsibility*, in cooperation with the instructor and the dean, *is* to relocate courses when required.

Resolving Disagreements

Disagreements will be resolved according to the provisions of Policy 6.6, Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities.

Cross Reference: Section 504 of the Rehabilitation Act of 1973, Pub. L. No. 93-112, 29 U.S.C. § 794; Americans with Disabilities Act of 1990, Pub. L. No. 101-336, 42 U.S.C. §§ 12101-12213 as amended by the Americans with Disabilities Act Amendments Act of 2008, Pub. L. No. 110- 325; 34 C.F.R. 104; Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities (6.6); Accessibility for Persons with Disabilities (2.2); Animals on University Property (13.2)

Responsible for Implementation: Provost and *Executive* Vice President for Academic Affairs, ~~Vice President for University Affairs~~*Chief Diversity Officer*

Contact for Revision: Director of Disability Services

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Administrative Systems Software Changes

Policy Number: 16.2

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

Date of last revision, if applicable: 4/30/2019

Unit(s) Responsible for Policy Implementation: Information Technology Services

Purpose of Policy (what does it do): Define administrative systems software changes as the responsibility of Information Technology 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:

Specific rationale for deletion of policy: Recommend deletion as this policy is no longer needed

Additional Comments:

Reviewers:

Anthony Espinoza, Chief Information Officer
Scott Gordon, President
Damon Derrick, General Counsel

~~Administrative Systems Software Changes~~

~~**Original Implementation:** January 19, 1999~~
~~**Last Revision:** April *11*30, 202219~~

~~Administrative systems software changes are the responsibility of Information Technology Services (ITS) in conjunction with Enterprise Resource Planning (ERP) systems module owners. ERP systems include, but are not limited to, Banner, Raiser's Edge, and Brightspace Learning Environment.~~

~~Software changes to the university's ERP systems allow each system to:~~

~~A. meet the changing needs of the user community and system owners.~~
~~B. provide patches when problems are encountered.~~
~~C. provide upgrades to the systems as new features are added.~~

~~Changes to software modules in the ERP system are requested by the module owners or designee(s). All requested changes are evaluated and either approved or rejected by the chief information officer and the module owner or designee.~~

~~**Cross Reference:** ITS Policy Handbook~~

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

~~**Contact for Revision:** Chief Information 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: Compensation from Grants, Contracts and Other Sponsored Agreements

Policy Number: 12.1

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): Established guidelines for pay to faculty and exempt staff from Grants in relation to federal and state laws.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No 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

Compensation from Grants, Contracts and Other Sponsored Agreements

Original Implementation: April 17, 2012
Last Revision: ~~July 23, 2019~~*April 11, 2022*

This policy establishes guidelines for compensation paid to faculty and professional (exempt) staff from grants, contracts, and other sponsored agreements (grants) that are consistent with federal and state laws, rules and regulations and university policies and procedures.

If permitted by a specific grant and university policy, an employee may receive compensation for personal services directly related to the grant in the form of direct salary or additional compensation. The form and amount of compensation depends upon:

- the workload status of the employee (part-time or full-time);
- the type of work being performed;
- the employee status (exempt/non-exempt, faculty/staff); and
- the timing of work performed (for example, weekends, after normal work hours, and summer months).

Direct Salary

Compensation from grants is normally paid as a portion of the institutional base salary (IBS) for actual work performed on the grant from which the salary is paid. Compensated services must be performed during the project period and are captured in effort certification reporting as part of the individual's IBS. Compensation from grants can never exceed the individual's normal IBS rate of pay (2 CFR 200.430).

1. Exempt and non-exempt staff – A portion of an individual's IBS may be paid from one or more grants proportional to the effort expended on each grant agreement during the term the work is performed. Individuals paid 100% from grant funds cannot perform any institutional functions outside of their grant-related job duties. See Effort Reporting and Certification of Sponsored Activities policy (8.1).

2. Full-time Faculty - A full-time faculty member's salary may be paid from one or more grants proportional to the effort expended on each grant agreement during the academic term such work is performed. This reassigned time releases the faculty member from teaching and/or research/scholarly/creative and service activities proportional to the level of effort on the grant.

   For a full-time nine-month assignment, the equivalent of 20% effort over the term is

normally devoted to research/scholarly/creative and service activities. Therefore, for purposes of compensation from grants, paid or cost-shared, a normal three-credit hour course is equivalent to 20% effort (or 0.20 FTE) and non-instructional activities are equivalent to 5% effort (or 0.05 FTE).

3. Faculty Summer Assignments - If a faculty member's teaching workload is less than 100% during a summer part of term, the faculty member may also be paid from one or more grants proportional to the effort expended, subject to the summer salary calculations outlined in Salary Supplements, Stipends and Additional Compensation policy (12.16). Faculty can earn no more than their prorated 9-month salary during the summer terms based on the combined grant salary and teaching workload assignment.

   For purposes of compensation from grants (paid or cost-shared), a normal three-credit hour course in a summer part of term is equivalent to 50% effort (or 0.50 FTE) for the summer part of term.

   Grant funds cannot be used during the summer months to pay for work performed during the academic year, and cannot be used to supplement institutional compensation that may be paid at a lower rate than the individual's IBS.

Additional Compensation

Additional compensation, or extra service pay, refers to salary paid in excess of the IBS for work that is clearly in addition to regularly assigned or contracted duties.

- To ensure equitable and consistent application of SFA's faculty workload policy, these guidelines apply to all sponsored project agreements regardless of the source of funding (federal, state, local government, and/or private entities).
- General requirements for payment of additional compensation are detailed in Salary Supplements, Stipends and Additional Compensation policy (12.16).
- Principal Investigators/Project Directors (PI/PD) are not eligible to receive additional compensation from their own projects.
- Non-exempt staff members are not eligible for additional compensation from grants and must be paid overtime at the appropriate rate of pay.
- Additional compensation is accounted for separately and is not captured in effort certification and reporting procedures. See the Effort Reporting and Certification for Sponsored Activities policy (8.1).
- The rate of pay shall not exceed the hourly equivalent of the individual's regular IBS. This rate is calculated using a monthly basis of 173.33 hours.

Exempt, full-time staff members may be eligible to receive additional compensation for incidental activities (task assignments) if the grant-related activities are (1) clearly

unrelated to their current duties as demonstrated by the employee's job description or other documentation; and (2) are performed outside of the employee's regular work hours.

Incidental activities (task assignments) should be based on completion of an assignment or task and are restricted to one-time services or jobs with a time commitment of one month or less.

Full-time faculty members may be eligible to receive additional compensation if the grant-related activities are for (1) intra-university consulting or for (2) incidental activities if it can be clearly demonstrated that the work is in addition to the duties detailed in the appointment contract and Faculty Workload policy 7.13 that serve as a basis for IBS.

1. Intra-university Consulting - Normally, intra-university consulting is considered to be a professional courtesy or normal university faculty obligation for which extra compensation is not paid. However, under unusual circumstances, additional compensation may be paid if all of the following conditions are met: (a) for faculty working across departmental lines or at a separate or remote location, such as outside of the Nacogdoches area; and (b) the services to be provided are essential and cannot be provided by persons receiving salary support from the sponsored agreement, or otherwise compensated for their services by the university.

2. Incidental Activities (task assignments) - If it can be demonstrated that it is crucial to the success of the project, faculty members may be paid from grants for incidental activities. Incidental activities should be based on completion of an assignment or task and are restricted to one-time services or jobs with a time commitment of one month or less.

Specific Requirements

For sponsors that allow additional compensation to be paid in the form of intra-university consulting or incidental activities, the sponsor must be informed of the intent to charge salary as additional compensation, preferably in the original budget proposal. The budget and/or project narrative of the grant or contract should clearly state:

- that additional compensation above IBS will be paid to university employees;
- the name or position of the individuals who will be receiving additional compensation; and
- the work and services to be performed by these individuals.

In addition, the amount of the additional compensation should be segregated from regular salary expenses and the budget justification should clearly indicate:

- the total dollar amount of additional compensation requested;
- the percent of additional effort committed to the project, or the hourly rate and number of hours committed to the project; and
- the appropriate fringe benefits.

The award document from the sponsoring agency must state that additional compensation is allowed, or the document must imply that the sponsor accepts the proposal with no alterations regarding the request for additional compensation.

Since fixed amount awards are performance based and generally do not require a sponsor-approved budget detail, additional compensation from these projects requires adequate justification from the employee's supervisor. Such requests should be included in the internal budget submitted as part of the proposal clearance process.

Responsibility for Compliance

1. Individuals requesting additional compensation are required to certify that they meet the eligibility requirements by signing the ORGS Additional Compensation Verification form. They also must provide assurance to their immediate supervisor that the work to be performed will not interfere with performance of regular responsibilities.

2. Principal Investigators (PI)/Project Directors (PD) are responsible for assessing and determining if additional compensation is appropriate, is allowed by the sponsor, and follows university policies and procedures. The PI/PD is responsible for initiating internal forms for employee eligibility certification, institutional approval, and payment. PIs/PDs are not eligible to receive additional compensation from their own projects.

3. Department Chairs/Division Directors/Deans are responsible for carefully analyzing the total university commitments of the employee who requests additional compensation from grants to confirm that the work is outside of the employee's contractual obligations to the university. The dean routes the Authorization for Additional Compensation Services form and the ORGS Additional Compensation Verification form to ORGS to verify eligibility and sponsor approval.

4. Office of Research and Graduate Studies is responsible for verifying additional compensation approval with the sponsor, either in the form of an approved grant application as submitted, or in the language of the grant, by approved amendment, or from subsequent written correspondence from the sponsor's contracting official.

5. Human Resources is responsible for confirming that the individual has not exceeded the maximum additional compensation limits as outlined in the Salary Supplements,

Stipend, and Additional Compensation policy (12.16) and that the IBS rate of pay has not been exceeded.

Remedies for Non-Compliance

In the event that repayment of additional compensation paid from grant funds is required by a sponsoring agency, auditor, or other authorized entity, the academic unit with managerial oversight of the sponsored agreement in question is responsible for repayment using departmental or college resources. This includes instances where administrative and/or sponsor approvals were not obtained in advance.

Cross Reference: 2 C.F.R. § 200.430; Uniform Grant Management Standards for Texas, UGMS; Distance Education Faculty Competencies and Compensation (7.9); Effort Reporting and Certification for Sponsored Activities (8.1); Faculty Workload (7.13); Outside Employment (11.19); Off-campus Credit Courses (5.13); Grants and Contracts Administration (8.3); Faculty Compensation (12.6); Summer Teaching Appointments (7.28); ~~Salary Supplements, Stipends and~~ Additional Compensation (12.16) .

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

Contact for Revision: Dean, Office of Research and Graduate Studies

Forms: Authorization for Additional Compensation Services and Authorization for Additional Compensation Payment (Human Resources website); Additional Compensation Verification (ORGS website).

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Discontinuance of Program or Academic Unit

Policy Number: 5.9

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

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

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

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

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Texted updated 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
Scott Gordon, President
Damon Derrick, General Counsel

Discontinuance of Program or Academic Unit

Original Implementation: October 18, 2011
Last Revision: ~~January 29, 2019~~ *April 11, 2022*

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

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

~~The recommendation to discontinue a program or academic unit will be based on educational consideration as determined by the university administration after consultation with the affected faculty and appropriate standing or ad hoc committees and will be subject to approval by the Board of Regents.~~
The recommendation to discontinue a program or academic unit will be based on educational considerations; this may include histories of low-producing programs, low-enrollments, or obsolescence, among other considerations. Recommendations will be made by appropriate university administrators, including the provost and executive vice president for academic affairs, the dean, and the unit head, in consultation with the affected faculty. Discontinuance is subject to approval by the Board of Regents.

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

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

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

Cross Reference: Tenure (7.29)*; Financial Exigency (3.15); Establishing Centers, Institutes, and Specialized Testing or Services Laboratories (5.10); Tex. Educ. Code § 61.0512*

Responsible for Implementation: President

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: Effort Reporting and Certification for Sponsored Activities

Policy Number: 8.1

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

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

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

Purpose of Policy (what does it do): This grant related policy helps facilitate grant costs and expenditures are meeting laws and regulations.

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 updates.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Effort Reporting and Certification for Sponsored Activities

Original Implementation: January 29, 2008
Last Revision: ~~January 29, 2019~~*April 11, 2022*

This policy establishes requirements to facilitate compliance with laws and regulations concerning employee effort for salary expenditures and cost-sharing requirements related to grants, contracts and other sponsored agreements (grants).

Recipients of federal funds must maintain a system of internal controls that provide reasonable assurance that payroll charges are accurate, allowable, necessary, and properly allocated among grant and institutional activities. Recipients of grants must exercise due diligence in the review and certification of effort reports.

Effort expended for extra compensation as defined in the ~~Salary Supplements, Stipends and~~ Additional Compensation policy (12.16), or for work not compensated by the university, is not included in effort calculations. Refer to Compensation from Grants, Contracts and Other Sponsored Agreements (12.1).

1. Effort is defined as the percentage of time spent on a particular activity and is not based on a traditional 40-hour work week. The total effort associated with institutional base salary (IBS) is defined as 100% effort. This includes instruction, departmental administration, departmental research, grants, and other institutional activities.

   The federal government recognizes that decisions made in the certification of effort percentages to individual sponsored activities are based on reasonable estimates. It is recognized that, in an academic setting, teaching, research, service, and administration are often inextricably intermingled. Therefore, a precise assessment of factors that contribute to costs is not always feasible, nor is it expected. Reliance, therefore, is placed on estimates in which a degree of tolerance is appropriate.

   Tolerance is defined by the university as +/- five percent (5%) of the committed effort. Therefore, if the percentage on the effort report reflects one's effort within this variance, the effort percentage may be confirmed as a reasonable estimate. Effort certification report adjustments may be required when: a) effort does not match salary expenditures within the tolerance limit for the time period covered by the report; b) there are payroll cost transfers; or c) revised personnel actions are generated.

2. Effort certification reports are required for all employees who devote effort (paid or cost-shared) to one or more grants. These records are generated by and retained in the Banner effort system for salaried individuals. For hourly paid individuals, certified time records are generated and retained in the TimeClock Plus system or recorded manually on time sheets retained by the

department, and serve as alternate official effort certification records.

3. After-the-fact effort reporting is required for all sponsored projects grants regardless of the source of funds (Federal, state, or private). After-the-fact reporting is defined as certification reports originated after the work has been performed.

4. Project directors (PDs) or principal investigators (PIs) are responsible for ensuring that effort certification reports are completed accurately and in a timely manner for each individual subject to this policy from a grant for which they serve as PD/PI.

   Effort reports must be certified by a person having either firsthand knowledge of the work performed or a suitable means of verification that the work performed was related to the specific sponsored activities. Normally, this certification is performed by the employee, PD or PI. If one of these persons is unable to certify the effort report, a surrogate with firsthand knowledge or who has a suitable means of verification as described above may certify the report (e.g., the unit head, a co-investigator). The PD/PI will certify effort for graduate students.

5. Effort attributed to any grant must represent work specific to the agreement. Intentional falsification, forgery, or fraudulent alteration of effort certification reports constitutes fraud. Non-compliance with this policy and related procedures may result in penalties levied against the departments, divisions, schools and/or the university. Individuals with roles and responsibilities in the certification process are held responsible for any instances of non-compliance. Criminal and/or employee discipline measures may be pursued.

   If effort reports are not certified in a timely manner, the Office of Research and Graduate Studies will take actions to assist with compliance with this federal requirement. These actions may include, but are not limited to: a) withholding submission of proposals, project applications or other documents such as material transfer agreements; b) freezing active grant funds; or c) adjusting uncertified labor distributions and the effort they represent to non- sponsored Banner funds managed by the administrative unit.

6. Each individual with responsibilities related to effort certification must thoroughly understand the proper method of reviewing and certifying the effort reports to ensure the reports reflect effort expended toward grants and other activities during the report period. Thus, effort training is mandatory for all employees who certify payroll expenses.

   Procedures for effort reporting and certification are outlined in the Grants and Contracts Procedures Manual published by the Office of Research and Graduate Studies.

Cross Reference: 2 C.F.R. § 200.430; ~~A~~ Texas Uniform Grant Management Standards, II.B(11)(h)(1-5,7); ORGS Grants and Contracts Procedures Manual; ~~Salary Supplements, Stipends and~~ Additional Compensation (12.16); Compensation from Grants, Contracts and Other Sponsored Agreements (12.1)

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

Contact for Revision: Dean, Office of Research and Graduate Studies

Forms: Banner Effort Certification Reports; TimeClock Plus records; time sheets

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Email for University Communication

Policy Number: 15.1

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: ITS

Purpose of Policy (what does it do): Define email as the official means of communication among university faculty, students, and staff members.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

No changes.

Reviewers:

Anthony Espinoza, Chief Information Officer
Scott Gordon, President
Damon Derrick, General Counsel

Email for University Communication

Original Implementation: January 28, 2003
Last Revision: April ~~30~~*11*, 202*2*~~19~~

Email is an official means of communication among university faculty, students, and staff members. Although email accounts are assigned to all prospective students at the time they apply for admission, they are not bound by this policy until they have been admitted to the university.

The following conditions apply to university email accounts:

1. Each person applying for admission to Stephen F. Austin State University (SFA) as a student will be assigned an SFA email account. Each faculty or staff member hired by the university will be assigned an SFA email account at the time the employment information is entered into the Human Resources system.
2. The assigned email account will be considered an official method of communication from university faculty and administrators to faculty, enrolled students, and staff members, either collectively or individually. All personnel and students are responsible for university email message content, even if they do not use the university system as their primary account.
3. Applicants' email accounts will be removed if they do not enroll at SFA. Enrolled students retain their email accounts as long as they are an active student.~~.~~
4. Faculty and staff email accounts will be deleted upon separation or termination of employment. Some exceptions may be granted by the chief information officer for cause.

Cross Reference: Acceptable Use of Information Resources (14.2)

Responsible for Implementation: President

Contact for Revision: Chief Information 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: File Maintenance for Faculty Personnel Files

Policy Number: 4.6

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

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

Unit(s) Responsible for Policy Implementation: VPAA

Purpose of Policy (what does it do): This policy is a requirement from SACS to keep up with all faculty members 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:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor updates.

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

File Maintenance for Faculty Personnel Files

Original Implementation: October 31, 2000
Last Revision: ~~January 29, 2019~~*April 11, 2022*

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

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

Full-time ~~academic rank~~ faculty *holding academic rank:*

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

Filed in the Office of the College Dean:

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

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

Graduate teaching assistants (when instructor of record)*:*

- Curriculum vitae
- Official transcripts from all degree granting institutions attended or verification that official transcripts are in the Office of Research and Graduate Studies.
- Three letters of reference
- Faculty Certification of Credentials form

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

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

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

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

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

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Financial Conflicts of Interest in Sponsored Activities

Policy Number: 8.2

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): Grants related policy in regards to conflict of interest for SFA 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: Minor updates.

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

Financial Conflicts of Interest in Sponsored Activities

Original Implementation: January 30, 1996
Last Revision: April ~~30, 2019~~*11, 2022*

1. Introduction

The purpose of this policy is to protect the credibility and integrity of Stephen F. Austin State University's (SFA) faculty and staff by ensuring public trust and confidence in the university's research and grants, contracts, and other sponsored agreements (grants) by identifying and then managing, reducing, or eliminating actual or potential conflicts of interest.

A potential conflict of interest occurs when divergence exists between the private interests of individuals and their professional obligations to the university, to the extent that an independent observer might reasonably question whether an individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise. An actual conflict of interest depends on the situation and not on the character or actions of the individual. In some cases, it also might be appropriate to voluntarily report apparent nonfinancial conflicts of interest and the steps taken by SFA to mitigate them, such as relationships between grant and university personnel.

The university will take all necessary steps to assure that any identified actual or potential financial conflicts of interest are managed, reduced, or eliminated prior to the university's expenditure of any funds under an award and, if required by a sponsor, certify to the funding agency that this has been done or report conflicts that cannot be satisfactorily managed, reduced, or eliminated.

As defined in section II, all investigators are required to disclose any significant financial interest that could directly or indirectly affect the design, conduct, and/or reporting of research and/or affect professional judgment in the conduct of grants.

Federal awarding agencies must establish conflict of interest policies for their awards that require the awardee to disclose in writing any potential conflict of interest (2 C.F.R. § 200.112). This policy has been developed to address financial conflicts of interest in grants in general, with specific requirements to address regulations for Public Health Service supported research. Investigators will be required to comply with each individual federal awarding agency’s policies. State laws regarding employee conduct may also apply to situations involving potential financial conflicts of interest.

Additional requirements are outlined in section VI that pertain specifically to Public Health Service (PHS) sponsored research grants and to research sponsored by other federal agencies with similar financial conflict of interest regulations.

2. Definitions

Compliance Coordinator (CC): an individual in the Office of Research and Graduate Studies (ORGS)

designated to coordinate financial conflict of interest requirements for grants at the proposal and award stages.

Disclosure of significant financial interests: an investigator's disclosure of significant financial interests to the university.

Equity interest: includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value.

Financial conflict of interest (FCOI): a significant financial interest that could directly and significantly affect the design, conduct, or reporting of grant activities.

Financial interest: anything of monetary value, whether or not the value is readily ascertainable.

Institutional responsibilities: an investigator's professional responsibilities on behalf of the university, which for faculty includes teaching, research, service and other scholarly and professional activities and for staff includes job-related activities.

Institutional Official (IO): the provost and vice president for academic affairs.

Investigator: a project director (PD) or principal investigator (PI) and any other person, regardless of title or position, who is identified as: (a) senior/key personnel in the grant application, progress report, or any other report submitted to a funding agency; (b) a responsible party on applications for the use of human or animal subjects; and (c) responsible for the design, conduct, or reporting of grant activities.

Manage/Management Plan: taking action to address a FCOI, which can include reducing or eliminating the conflict of interest to ensure, to the extent possible, that the design, conduct, and reporting of research will be free from bias.

Public Health Service (PHS): an entity of the U.S. Department of Health and Human Services, and any components of the PHS to which the authority involved may be delegated, which includes agencies such as the National Institutes of Health (NIH), the Centers for Disease Control and Prevention (CDC), the Food and Drug Administration (FDA), and the Health Resources and Services Administration (HRSA).

Research: a systematic investigation, study or experiment designed to develop or contribute to generalizable knowledge relating broadly to public health, including behavioral and social-sciences research. The term encompasses basic and applied research and product development.

Responsible Official (RO): the dean of research and graduate studies.

Significant financial interest: a financial interest that must be disclosed by an investigator that: (a) consists of one or more of the following interests of the investigator, and/or the investigator's spouse and dependent children, or any other financially interdependent individual in the household; (b) which reasonably appears to be related to the investigator's institutional responsibilities; and (c) was received, obtained, or held during the twelve (12) months preceding the disclosure.

Information that must be disclosed by an investigator includes:

A. Payments from or an equity interest in a publicly-traded entity if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure together exceed $5,000. Remuneration includes any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship);
B. Payments from or an equity interest in a non-publicly traded entity if the value of any remuneration received from the entity in the twelve months preceding the disclosure exceeds $5,000 and any equity interest is held;
C. Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests; and
D. Travel payments (reimbursements or amounts paid on behalf of the investigator) related to institutional responsibilities (this requirement only applies to investigators with PHS supported research or other Federal sponsors with similar FCOI requirements).

Information that is excluded from disclosure by an investigator includes:

A. Salary, royalties, or other remuneration paid by the university to the investigator if the investigator is currently employed or otherwise appointed by SFA, including intellectual property rights assigned to SFA and agreements to share in royalties related to such rights;
B. Income from certain investment vehicles, such as mutual funds and retirement accounts, as long as the investigator does not directly control the investment decisions made in these vehicles; and
C. Income from seminars, lectures, or teaching engagements, or income from service on advisory committees or review panels sponsored by a Federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

Regardless of the above minimum requirements, investigators in their own best interest may choose to

disclose any other financial or related interest that could present an actual conflict of interest or be perceived to present a conflict of interest.

Grants: all externally funded activities, including but not limited to research, public service, instruction, and/or training activities funded by grants, contracts, cooperative agreements, or other sponsored agreements.

3. Responsibilities Regarding FCOI

A. **Investigator** – It is the responsibility of the investigator to:

i. file and update a PI/PD Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects form with each grant application and a Disclosure of Substantial Interest form as needed;

ii. file and update a Disclosure of Substantial Interest form in other instances as outlined in this policy;

iii. acknowledge in the disclosure form their understanding of this policy and applicable federal regulations;

iv. provide additional information and documentation required to meet the terms of this policy when requested by university officials; and

v. complete FCOI training as required by this policy.

B. **Institutional Official (IO)** – It is the responsibility of the IO to:

i. review Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects and Disclosure of Substantial Interest forms related to grants;

ii. determine if a FCOI exists with regard to grant funding, appoint a committee as required to assist in the decision, and make recommendations regarding management of any such conflict of interest;

iii. if indicated, develop a plan for management of the conflict in consultation with the investigator and in conjunction with the appointed committee, the university's general counsel and other university officials, as appropriate; and

iv. determine the appropriate individual to monitor implementation of the plan, as needed.

C. **Compliance Coordinator (CC)** – It is the responsibility of the CC to:

i. verify that Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects and as needed, Disclosure of Substantial Interest forms are on file for investigators prior to submitting applications to any entity;

ii. verify that Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects and as needed, Disclosure of Substantial Interest forms are on file for investigators after an award is made and prior to the expenditure of funds;

iii. provide disclosure and reporting requirements to any subrecipients related to an award from a Federal sponsor; and

iv. communicate with the investigator regarding the status of the project with regard to compliance with this policy, including applicable training requirements.

D. **Responsible Official (RO) –** It is the responsibility of the RO to:
   i. provide general oversight ~~to~~*of* the FCOI reporting and management process as it relates to research and other sponsored activities;
   ii. participate in the review of Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects and Disclosure of Substantial Interest forms and in the development of management plans, as requested by the IO; and
   iii. submit conflict of interest reports to the sponsoring agency as required by the PHS or any other Federal agency.

4. FCOI Reporting and Review Procedures

A. **Timeline for Disclosures**
   i. all investigators are required to disclose significant financial interests on the Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects form and as needed, a Disclosure of Substantial Interests form prior to the submission of every grant application;
   ii. during the year as needed and no later than thirty (30) calendar days after a new, reportable significant financial interests is obtained such as an increase in value that meets the reporting threshold, as well as the acquisition of new interests that are reportable (for example, through purchase, marriage, or inheritance); and
   iii. for new investigators, within thirty (30) calendar days of joining an active grant.

B. **Disclosure Period -** Each individual completing the Disclosure of Substantial Interest form must list any financial interests for the preceding twelve (12) months that appear to be related to the investigator's institutional responsibilities and that might reasonably appear to affect the grant activities funded, or proposed for funding.

C. **Disclosure Review Process** - The IO will conduct an initial review of all financial disclosures related grants in consultation with the RO or other official designee of the university, as appropriate. If an initial determination is made that there may be a potential for conflict of interest covered by this policy, additional information will be requested from the investigator.

   A potential FCOI also may be referred to an investigating committee for review. If it is determined by the IO that a committee should be formed, members will be appointed by the IO after consultation with the RO, who serves as chair. If it is determined that a conflict of interest exists, the IO and/or the investigating committee will determine what conditions or restrictions, if any, should be imposed by the university to manage actual or potential conflicts of interest arising from such disclosures.

D. **Records Retention -** Records of investigator financial disclosures, the university's review and response to disclosures, and of actions taken to manage actual or potential conflicts of interest, as applicable to grants will be retained by ORGS according to each sponsor's retention requirements~~-~~, or the resolution of any government action involving those records,

or where applicable, from other dates specified in 45 CFR 74.53(b) and 92.42 for PHS supported research or other agency regulations.

E. **Enforcement** - The IO will be responsible for determining and implementing sanctions on investigators who have violated this policy in terms of a conflict of interest resolution. The investigator will be notified in writing of the recommended sanctions within twenty-one (21) calendar days of the discovery of the violation. If the sanctions involve a recommendation for termination of employment, the university's termination procedures will be invoked. The university must take action as warranted by the seriousness of the violation including, but not limited to, one or more of the following:

- removal from the activity;
- special monitoring of future work;
- letter of reprimand;
- probation with conditions specified; and/or
- termination.

Additionally, the university will follow PHS and other applicable Federal regulations regarding the notification of a sponsoring agency in the event an investigator has failed to comply with this policy.

Individuals may appeal the judgment and/or the sanction. A written statement of the grounds for the appeal must be submitted to the president of the university within thirty (30) working days of written notification of the sanctions. Grounds for appeal include, but are not limited to, previously unconsidered material evidence, sanctions not commensurate with the finding, and failure to follow the prescribed process. Upon receipt of a written appeal, the president will evaluate the evidence and make a determination. The president will open an investigation if circumstances so dictate. The president's decision will be conveyed to all parties within thirty (30) working days.

5. FCOI Information Dissemination and Training

A. **Information Dissemination** - The Office of Research and Graduate Studies will inform each investigator applying for grants of the university's policy on financial conflicts of interest, the investigator's responsibilities regarding disclosure of significant financial interests, and any applicable Federal regulations regarding FCOI. Such information will also be posted on the ORGS website.

B. **Mandatory Training** - Each investigator who is awarded a PHS research award or an award from a Federal agency with similar FCOI training requirements will complete a training session on FCOI prior to engaging in the grant activity and subsequently every four (4) years. In addition, training is required for these individuals immediately when: (1) the university revises its financial conflict of interest policies or procedures in any manner that affects the requirements of investigators; (2) an investigator on a PHS supported award is new to the

university; or (3) if the university finds that an investigator is not in compliance with this policy or a prescribed FCOI management plan.

C. **Subrecipients** - If the university carries out research through a subrecipient (e.g., subcontractors or consortium members) that is supported by the PHS or by a Federal agency with similar FCOI reporting and/or training requirements, the university (awardee institution) will take reasonable steps to ensure that any subrecipient investigator complies with the training requirement described in B. above by incorporating as part of a written agreement with the subrecipient terms that establish whether the financial conflicts of interest policy of the university or that of the subrecipient will apply to the subrecipient's investigators. The agreement referenced will specify time period(s) for the subrecipient to report all identified financial conflicts of interest to the university. Such time period(s) will be sufficient to enable the university to provide timely FCOI reports, as necessary, to the PHS or other Federal agencies as required by the agency.

6. Special Provisions for Managing and Reporting Financial Conflicts of Interest for Public Health Service (PHS) Supported Research

A. **Management Plan -** For PHS supported research, resolution of any potential or actual conflicts of interest will not be required until after funding has been approved and prior to any expenditure of funds under the PHS supported award. Prior to the expenditure of any funds under a PHS-funded research project, the IO will develop and implement a management plan that will specify the actions that have been and will be taken to manage such financial conflict of interest.

The IO, along with any investigating committee, the investigator, the RO, and other university officials as required, will proceed to resolve any actual or potential problems revealed by the initial review of financial disclosures. In order for the conflict to be managed, reduced, or eliminated, the IO may recommend:

1. public disclosure of significant financial or related interests (e.g., during presentations or in publications);
2. for research projects involving human subjects research, disclosure of financial conflicts of interest directly to participants prior to participation;
3. monitoring of sponsored activities by independent reviewers;
4. modification of the research or other sponsored activity plan;
5. Change in personnel and/or disqualification from participation in all or a portion of the activity funded that would be affected by the significant financial interests;
6. divestiture of significant financial interests; and/or
7. severance of relationships that create actual or potential conflicts of interest.

If the IO, along with any investigating committee determines that imposing conditions or restrictions would either be ineffective or inequitable, and that the potential negative impacts

that may arise from a significant financial interest are outweighed by interests of scientific progress, technology transfer, or the public health and welfare, the IO and committee may recommend that, to the extent permitted by federal regulations, the sponsored activity go forward without imposing such conditions or restrictions. In these cases, the IO in consultation with the RO will make the final decision regarding resolution.

The approved written resolution plan will detail the conditions or restrictions imposed upon the investigator in the conduct of the sponsored activity or in the relationship with the enterprise or entity.

Actual or potential conflicts of interest will be satisfactorily managed, reduced, or eliminated in accordance with these guidelines and all required reports regarding conflicts of interest submitted to the sponsor prior to the expenditure of any funds under an award.

B. Retrospective Review - For PHS supported research, whenever a significant financial interest is discovered that was not disclosed in a timely manner by an investigator, or for whatever reason, was not previously reviewed by the university during an ongoing PHS supported research project (including subrecipients), the IO will within sixty (60) calendar days:

1. review the significant financial interest;
2. determine whether it is related to PHS-funded research;
3. determine whether a financial conflict of interest exists; and, if so implement, on at least an interim basis, a management plan that will specify the actions that have been, and will be, taken to manage such financial conflict of interest going forward.

In addition, if it is determined that the university failed to review or manage such a financial conflict of interest, or the investigator failed to comply with a financial conflict of interest management plan, the IO will, within 120 calendar days of the university's determination of noncompliance, lead a retrospective review of the investigator's activities and the PHS supported research project to determine whether any PHS supported research, or portion thereof, conducted during the time period of the noncompliance, was biased in the design, conduct, or reporting of such research.

The retrospective review will be documented, and will include at a minimum the following key elements:

1. project number;
2. project title;
3. PD/PI or contact PD/PI if a multiple PD/PI model is used;
4. name of the investigator with the FCOI;
5. name of the entity with which the investigator has a financial conflict of interest;
6. reason(s) for the retrospective review;

7. detailed methodology used for the retrospective review (e.g., methodology of the review process, composition of the review panel, documents reviewed);
8. findings of the review; and
9. conclusions of the review.

Based on the results of the retrospective review, if appropriate, the university will update the previously submitted FCOI report, specifying the actions that will be taken to manage the financial conflict of interest going forward. If bias is found, the university will notify the PHS awarding agency promptly and submit a mitigation report the agency. The mitigation report must include, at a minimum, the key elements documented in the retrospective review above and a description of the impact of the bias on the research project and the university's plan of action or actions taken to eliminate or mitigate the effect of the bias. Depending on the nature of the financial conflict of interest, the university may determine that additional interim measures are necessary with regard to the investigator's participation in the PHS supported research project between the date that the financial conflict of interest or the investigator's noncompliance is determined and the completion of the university's retrospective review.

7. Public Disclosure

Prior to the expenditure of any funds under a PHS supported research project, the university will ensure public accessibility via written response to any requestor within five (5) working days of a request for information concerning any significant financial interest disclosed to the university that meets the following three criteria:

A. the significant financial interest was disclosed and is still held by the senior/key personnel as defined by this subpart;
B. the university determines that the significant financial interest is related to the PHS supported research; and
C. the university determines that the financial interest is a significant financial conflict of interest.

The information provided by written response to any requestor will include at a minimum the following information:

A. the investigator's name;
B. the investigator's title and role with respect to the research project;
C. the name of the entity in which the significant financial interest is held;
D. the nature of the significant financial interest;
~~D.~~*E.* the approximate dollar value of the significant financial interest specified in ranges (e.g., $0–$4,999; $5,000–$9,999; $10,000–$19,999; amounts between $20,000–$100,000 by increments of $20,000; amounts above $100,000 by increments of $50,000), or a statement that the interest is one whose value cannot be readily determined through reference to public prices or other reasonable measures of fair market value; and
~~E.~~*F.* will note that the information provided is current as of the date of the correspondence

and is subject to updates, on at least an annual basis and within 60 calendar days of the identification by the university of a new financial conflict of interest, which should be requested subsequently.

Information concerning the significant financial interests of an individual subject to this section will remain available for at least three (3) years from the date that the information was most recently updated.

8. Reporting to PHS Agencies

Prior to the university's expenditure of any funds under a PHS supported research project, the university will provide to the PHS agency an FCOI report regarding any investigator's significant financial interest found by the university to be conflicting and ensure that the university has implemented a management plan in accordance with PHS regulations. In cases in which the university identifies and eliminates a FCOI prior to the expenditure of PHS-awarded funds, an FCOI report is not required.

For any significant financial interest that the university identifies as conflicting subsequent to the initial FCOI report and during an ongoing PHS supported research project, the university will provide within sixty (60) calendar days, a FCOI report to the PHS agency and ensure that a management plan has been implemented in accordance with PHS regulations. This includes results of a retrospective review, and in situations in which bias is determined, the university will promptly notify and submit a mitigation report to the PHS agency.

Any FCOI report will include sufficient information to enable the PHS agency to understand the nature and extent of the financial conflict, and to assess the appropriateness of the university's management plan. Elements of the FCOI report will include, but are not necessarily limited to, the following:

A. project number;
B. PD/PI or Contact PD/PI if a multiple PD/PI model is used;
C. name of the investigator with the significant financial conflict of interest;
D. name of the entity with which the investigator has a financial conflict of interest;
E. nature of the financial interest (e.g., equity, consulting fee, travel reimbursement, honorarium);
F. value of the financial interest (dollar ranges are permissible: $0–$4,999; $5,000–$9,999; $10,000–$19,999; amounts between $20,000–$100,000 by increments of $20,000; amounts above $100,000 by increments of $50,000), or a statement that the interest is one whose value cannot be readily determined through reference to public prices or other reasonable measures of fair market value;
G. a description of how the financial interest relates to the PHS supported research and the basis for the university's determination that the financial interest conflicts with such research; and
H. a description of the keyelements of the university's management plan, including:

i. role and principal duties of the conflicted investigator in the research project;
ii. conditions of the management plan;
iii. how the management plan is designed to safeguard objectivity in the research project;
iv. confirmation of the investigator's agreement to the management plan;
v. how the management plan will be monitored to ensure investigator compliance; and
vi. other information as needed.

For any financial conflict of interest previously reported by the university with regard to an ongoing PHS-funded research project, the university will provide to the PHS agency an annual FCOI report that addresses the status of the financial conflict of interest and any changes to the management plan for the duration of the project. The annual FCOI report will specify whether the financial conflict is still being managed or explain why the financial conflict of interest no longer exists.

9. Remedies

If an investigator fails to comply with this policy, or a financial conflict of interest management plan appears to have biased the design, conduct, or reporting of PHS- funded research, the university will promptly notify the PHS agency of the corrective action taken or to be taken.

Cross Reference: 2 C.F.R. § 200.112; 42 C.F.R. Part 50, Subpart F; 45 C.F.R. Part 94, Faculty Handbook; Ethics (2.6); Misconduct in Scholarly or Creative Activities (7.19); and Purchasing Ethics ~~and Confidentiality~~ (17.2~~2~~*1*).

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

Contact for Revision: Dean of Research and Graduate Studies

Forms: Disclosure of Substantial Interest form; PI/PD Conflict of Interest (FCOI) Disclosure and Certification for Sponsored Projects form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Guest Speaker

Policy Number: 16.12

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 of Student Affairs

Purpose of Policy (what does it do): States rules for invitation and presentations of guest speakers on University property and/or at University-sponsored events

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 updates made for clarification.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Student Affairs Policy Review Committee
Hollit Smith, Executive Director of Student Life
Brandon Frye, Vice President of Student Affairs
Damon Derrick, General Counsel

Guest Speaker

Original Implementation: July 1980
Last Revision: ~~April 30, 2019~~ *April 11, 2022*

Application of Policy:
These rules shall govern the invitation and presentation of guest speakers on university property or at university-sponsored events.

Definitions:
The term "University Property" includes all land, buildings, facilities, and other property in the possession of and/or owned, used, or controlled by the University (including adjacent streets and sidewalks).

The term "University-sponsored" includes a program or event initiated, aided, authorized, or supervised by a registered student organization, faculty or staff organization.

1. These rules do not apply to:
   a. regularly scheduled classes offered for academic credit;
   b. professional conferences sponsored directly by a university department; or
   c. activities sponsored by non-university entities in rented university facilities.
2. For the purpose of these rules, "guest speaker" means a person invited to speak on university property or at a university-sponsored event who is presently not enrolled as a student or employed by the university. *If the guest speaker is a distinguished g~~q~~uest, the sponsoring organization must adhere to Policy 2.16, Distinguished Guests~~-~~.*
3. Only registered student *organizations*, faculty or staff organizations, or non-university entities renting university facilities may invite and present guest speakers on university property or at university-sponsored events.
4. The organization sponsoring a guest speaker is responsible for making clear ~~the fact~~ that the organization, not the university, is extending the invitation to speak and that any views or opinions the speaker expresses are those of the speaker and not necessarily those of the university.

~~4.~~*5.The organization sponsoring a guest speaker is responsible for the guest speaker's actions.*

~~5.~~*6.*Registered student *organizations*, faculty or staff organizations, and non-university entities may be permitted the use of university facilities to present guest speakers on university property or at university-sponsored events pursuant to the Use of University Facilities policy (16.33). An application for the use of the university facility to be used for the speaker's presentation must be made to the appropriate university official at least forty-eight (48) hours before the time the event is scheduled to take place.

~~6.~~*7.*If a guest speaker is to be paid from university funds as consideration for ~~his/her~~*their* speech:
   a. The facility in which the speech is to be delivered must be open to the public and the news media.

b. The sponsoring organization must follow all applicable university procurement procedures.

~~7.~~*8.*The presentation of guest speakers must not:

a. result in a breach of peace or violation of law;
b. interfere with the free and unimpeded flow of pedestrian and vehicular traffic; or
c. materially disrupt or interfere with the normal activities of the university.

~~8.~~*9.*Guest speakers may not:

a. present material that is obscene or libelous; or
b. advocate the deliberate violation of law.

For the purposes of this section, "advoca*te*~~cy~~" means speech directed to inciting or producing imminent lawless action that is likely to incite or produce such action, as opposed to the abstract espousal of the moral propriety of a course of action.

Cross Reference: Use of University Facilities (16.33)

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

Contact for Revision: ~~Dean of Student Affairs~~*Executive Director of Student Life*

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Grants and Contracts Administration

Policy Number: 8.3

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

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

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

Purpose of Policy (what does it do): Grants related policy to ensure sponsored activities are conducted in accordance with university policies and procedures.

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:

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

Grants and Contracts Administration

Original Implementation: August 1, 2000
Last Revision: ~~January 29, 2019~~*April 11, 2022*

The dean of research and graduate studies establishes and makes available procedures for the programmatic administration of grants, contracts and other sponsored agreements. These procedures are outlined in the Grants and Contracts Procedures Manual published by the Office of Research and Graduate Studies (ORGS). The *division of finance and administration* ~~controller~~ establishes internal controls for the fiscal administration and reporting of grants, contracts and other sponsored agreements and is responsible for the negotiation of facilities and administrative (indirect) cost rate agreements with the federal cognizant agency.

These controls and procedures are designed to ensure that sponsored activities are conducted in accordance with university policies and procedures, with laws and regulations, and with the provisions of the grants, contracts and sponsored agreements themselves.

Cross Reference: 2 C.F.R. Part 200; ORGS Grants and Contracts Procedures Manual

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

Contact for Revision: Dean of Office of Research and Graduate Studies

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Institutional Animal Care and Use Committee (IACUC)

Policy Number: 8.6

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

Date of last revision, if applicable: 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 regards to animal care during research projects

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:

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

Institutional Animal Care and Use Committee (IACUC)

Original Implementation: April 17, 2012
Last Revision: ~~January 29, 2019~~*April 11, 2022*

The Stephen F. Austin State University Institutional Animal Care and Use Committee (IACUC) is responsible for the review of research and teaching activities that involve vertebrate animals.

This review process ensures that all university activities comply with government regulations set forth by the United States Department of Health and Human Services, Office of Laboratory Animal Welfare (OLAW) and by the United States Department of Agriculture-Animal and Plant Health Inspection Service (USDA-APHIS) under the Animal Welfare Act (AWA).

The IACUC will consist of a minimum of five (5) members, including: at least one faculty member representing an academic department utilizing vertebrate animals for research, testing, or training; one member from a department that does not utilize animals in research; one doctor of veterinary medicine; and one member of the community not associated with the university. The committee will meet at least twice per year and on an as-needed basis to review faculty research proposals that involve vertebrate animals and complete any additional tasks required by law.

The IACUC will establish and publish the processes that must be followed when vertebrate animals are to be used in research. The dean of research and graduate studies will serve as the institutional official (IO). The IACUC reports to the IO, who possesses administrative and operational authority to ensure compliance with relevant policies from OLAW and the AWA.

No activities involving vertebrate animals can be carried out without approval from the IACUC. This includes activities that may be considered exempt activities and/or exempt animals.

This policy applies to all activities, teaching and research, that involve vertebrate animals that are: sponsored by the university; conducted by university faculty, staff, visitors, or students; and conducted using property and/or facilities owned by the university.

Failure to comply with applicable federal policies related to animal care and use may result in civil and/or criminal penalties, and may also result in loss of federal funding to the university.

Cross References: 9 C.F.R. § 2.31; Animal Welfare Act, 7 U.S.C. 2131 et. seq.; Office of Laboratory Animal Welfare, *Guide for the Care and Use of Laboratory Animals*, 8th edition; Office of Laboratory Animal Welfare, *Institutional Animal Care and Use Committee Guidebook*, 2nd edition; ORSP Grants and Contracts Procedures Manual; SFASU IACUC Policies and

Procedures Manual

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

Contact for Revision: Dean of Research and Graduate Studies

Forms: Animals in Research Protocol; IACUC Application – short form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: New Employee Orientation

Policy Number: 11.17

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): The purpose of this policy is to ensure that new employees receive sufficient orientation to enable them to perform their assigned duties. It is the responsibility of each hiring department to require new employees to participate in the new employee orientation.

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 changes to reflect current process.

Reviewers:

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

New Employee Orientation

Original Implementation: September 1990
Last Revision: April *11*~~30~~, 202*2*~~19~~

Purpose

The purpose of this policy is to ensure that new employees receive sufficient orientation to enable them to perform their assigned duties. It is the responsibility of each hiring department to require new employees to participate in the new employee orientation.

General

The human resources department orients new employees to SFA in two different sessions: *a*~~A~~ benefit information session and a *general*~~"Welcome Jacks"~~ orientation session. ~~–~~The hiring department is responsible for scheduling the new employee for each session with human resources.

The benefit information session is conducted by the human resources department ~~on or~~ before *or within* the first *30* days of employment. ~~–~~In this session, the new employee receives detailed information about SFA benefits and retirement options available to new employees.

The *general*~~"Welcome Jacks"~~ orientation is conducted within the first ~~6~~*90 days*~~month~~ of employment by the human resources department. This session provides the ~~-~~new employee with *information*~~an in-depth review~~ *on*~~of~~ SFA's mission, vision, history, culture, policies, procedures, and traditions.

The human resources department also provides hiring departments with an orientation checklist that details ~~-~~appropriate topics to cover with all new employees. ~~-~~The checklist requires hiring departments to provide new employees with *department-specific* information~~ regarding department details~~, training requirements, and ~~information regarding~~ the expectations for performance of the job duties. The checklist should be returned to human resources upon completion *and it will be filed in the employee's personnel file*.

While orientation is required for all new employees, the supervisor should maintain flexibility as to the extent of the orientation sessions, i.e., individuals having previous university employment may not require the in-depth training that would be needed by a first-time employee. At the supervisor's discretion, an employee transferring from one university department to another may *only need to complete the orientation checklist*~~be required to participate only in the departmental employee orientation~~.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: New Employee Orientation Checklist ~~(available in Human Resources)~~

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: News Releases (and Media Contact)

Policy Number: 15.3

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: Chief Marketing Communications Officer

Purpose of Policy (what does it do): Guides interaction with news media. The intent of the this policy and its previous iterations clearly show that it is designed to guide more than just news releases, but also to advise on interacting with the news media.

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 name change includes "Media Contact" to expand on the understanding beyond just news releases.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

News Releases *and Media Contact*

Original Implementation: 1950
Last Revision: April ~~30, 2019~~*11, 2022*

The Division of University Marketing Communications is responsible for producing and distributing news releases, publishing and promoting news of the university, responding to media inquiries, and monitoring news coverage of the university.

The university requests members of the news media to coordinate all interviews, campus visits, and inquiries through the Division of University Marketing Communications.

Departments and individuals seeking media coverage concerning university activities ~~should~~*must* request assistance from *the Division of* University Marketing Communications~~, which will work collaboratively with the requesting party to evaluate the newsworthiness of the activity~~. When an activity is determined to be newsworthy, University Marketing Communications will prepare ~~and market~~*, in coordination with the requesting party, and promote* a release of information to the ~~news media. As a general guideline, requests for media coverage should be made a minimum of 10 days before the scheduled event.~~*public and news media.*

Departments and individuals ~~should~~*must* not contact the news media without ~~the~~ assistance ~~of University Marketing Communications. News media receive numerous requests for coverage~~ from ~~a wide range of organizations and individuals. Uncoordinated coverage requests and/or requests for coverage of activities that may have little or no news value have the potential to diminish~~ the ~~effectiveness of University Marketing Communications when it makes requests for coverage~~*Division* of ~~newsworthy activities.~~ University Marketing Communications ~~may grant exceptions to select university divisions regarding this aspect~~. *Coverage requests, statements, and policies* of ~~this policy~~*the university, its component entities or representatives must be clear, consistent, and compliant.*

~~Upon occasion,~~*When members of the* news media ~~may~~ directly contact university faculty or staff ~~members seeking interviews or comments that may be published or broadcast. Faculty and staff members are encouraged, as time permits, to~~ *, those individuals may* share ~~their~~ insights on topics within their areas of scholarly study or professional expertise. Such participation has the potential to highlight the quality of university personnel, bring positive visibility to the university, and provide a valuable community service. ~~The faculty~~*Employees are discouraged from commenting on policies, actions,* or ~~staff member~~*events outside of their immediate responsibilities or expertise. Anyone* contacted by the media ~~should~~*must* notify *the Division of* University Marketing Communications of the interview request. ~~University Marketing Communications can assist both sides in facilitating the interview and monitor the media outlet for publication or broadcast of the interview.~~

Cross Reference: None

Responsible for Implementation: ~~Vice President for University Advancement~~
~~*Division*~~
~~**Contact for Revision:** Executive Director of University Marketing Communications,~~ *Chief Marketing Communications Officer*

Contact for Revision: *Chief Marketing Communications 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: Payments to Human Research Subjects

Policy Number: 8.8

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

Date of last revision, if applicable: 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 regards to human subjects who may incure personal costs for research and entitlement to be reimbursed.

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:

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

Payments to Human Research Subjects

Original Implementation: July 21, 2009
Last Revision: ~~January 29, 2019~~*April 11, 2022*

During the conduct of research studies with human subjects, it is recognized that participants may incur personal costs for which they are entitled to reimbursement. It is also desirable in some instances to provide a reward or recognition to participants for the time and effort they have devoted to participating in a research project.

At the time of application to the Stephen F. Austin State University (SFA) Institutional Review Board (IRB) for approval of the conduct of research studies with human subjects, the principal investigator must present a rationale to establish the appropriate level of compensation for participants in the study.

Any reimbursement or incentive to participants in a research study must not involve coercion or constitute undue inducement or influence an individual's decision to participate in the study.

Subject to university policy, cash, gift cards and gifts such as t-shirts or coffee mugs may be used for compensation and/or personal expenses such as travel and childcare costs may be reimbursed. Gifts must be provided to participants at the completion of the relevant activity. Payments by check should be avoided as they require disclosure of personal information to the business office.

Use of Grant Funds – Reimbursements or incentives for participation in a research study must be detailed in the grant application and in the application to the IRB by method and amount. The payments must be approved by the funding agency and the IRB.

Informed Consent - It is critical that participants are informed during the consent process that if, either in one or multiple studies in a given calendar year, the total payments and/or gift values exceed $100, their social security number and contact information will be provided to the SFA business office to comply with Internal Revenue Service regulations. Further, study participants must be informed that if they receive payments that total more than $599, they will receive a tax form from SFA at the end of the calendar year.

Finally, participants must be told that they can elect not to receive payments to avoid disclosure of this information to the SFA business office.

Documentation – Principal investigators are required to maintain a tracking list or spreadsheet with individual code numbers and payments of any value. Once compensation exceeds a total of $100 in a calendar year, the principal investigator must record the individual's name, social security number, address, and signature at the time of payment. Unless the study guarantees participant anonymity, the principal investigator must also keep a master list linking code numbers and

individual participant names, which must be kept in a password-protected computer file and/or locked filing cabinet. The tracking spreadsheet or other documentation with study and individual code numbers must be retained by the principal investigator for a minimum of five years after completion of the study or the requirements of the specific grant award, whichever is longer.

Cross Reference: Ethical Principles and Guidelines for the Protection of Human Subjects in Research: The Belmont Report; 45 C.F.R. § 46; Gifts, Prizes and Awards (3.18).

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

Contact for Revision: Dean of Research and Graduate Studies

Forms: SFA business office and Institutional Review Board forms

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Reproduction of Copyrighted Works by Educators and Librarians

Policy Number: 9.2

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: Provost and Executive Vice President for Academic Affairs

Purpose of Policy (what does it do): Policy discusses copyright act of others work.

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: Text updates 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

Reproduction of Copyrighted Works by Educators and Librarians

Original Implementation: 1979
Last Revision: April ~~30, 2019~~*11, 2022*

The Copyright Act (17 U.S.C. §§ 101-1332) affects all types of reproduction and/or use of others' works. The following ~~guidelines~~ *policy* provide*s* general copyright information *and guidelines* useful to the academic community.

Public Domain

~~Public domain refers to creative materials that are not protected by intellectual property laws such as copyright, trademark, or patent laws. Generally, if a work was published without copyright notice under the authorization of the copyright owner and the law does not provide an exception for the omission, the work is in the public domain if published in the U.S. *95 years after the author's death.*~~after 1922 *(as of 2021, 1926 or earlier)* but before March 1, 1989. The presence or absence of a copyright notice is not of significance in determining whether a work is copyrighted or is in the public domain. for works published on or after March 1, 1989.
Public domain refers to creative materials that are not protected by intellectual property laws such as copyright, trademark or patent laws. Consult the U. S. Copyright Office website (https://www.copyright.gov/) to determine when specific creative materials are in the public domain. The presence or absence of a copyright notice is not of significance in determining whether a work is copyrighted or is in the public domain.

The following factors may be used to determine what constitutes a public domain work:

- works that lack originality (e.g., phone book *(white pages)*);
- works that are no longer protected by copyright;
- freeware (must be expressly stated);
- U.S. Government publications;
- facts or theories; or,
- ideas, short phrases, processes, methods, and systems described in copyrighted work that are not otherwise protected by patents.

Copies in the Library (17 U.S.C. § 108)

~~W~~*W*hen *library staff are* ~~copying or digitizing~~*duplicating* materials *for a patron*, the ~~responsible party~~*patron* will include the following:

- any copyright notice on the original;
- appropriate citations and attributions to the source; and,

The library staff member will:

- ~~a Section 108(f)(1)~~ *stamp the sentence below on the first piece of each item photocopied, attach it to the glass on the photocopying equipment so that it is automatically transferred to each sheet, attach a sticker bearing this notice to each item photocopied, or use some other method whereby this message is affixed to all reproductions.* ~~notice indicating that making a copy may be subject to copyright law.~~

  "Notice: This material may be protected by copyright law (Title 17 U.S. Code)."

Fair Use Guidelines (17 U.S.C. § 107)

In determining whether the use of a work is fair use, all four of the following statutory factors should be considered:

(1) the purpose and character of the use, including whether such use is of a commercial nature or is for nonprofit educational purposes;
(2) the nature of the copyrighted work;
(3) the amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
(4) the effect of the use upon the potential market for or value of the copyrighted work.

Single Copying for Instructional Use

The following guidelines can be followed in copying materials by faculty, however the law may allow more or less to be copied than stated in these guidelines. A single copy may be made of any of the following by ~~or for~~ a faculty member ~~at his or her individual request~~ for ~~his or her~~*their* scholarly research or instructional purposes:

(1) a chapter from a book;
(2) an article from a periodical title or newspaper;
(3) a short story, short essay or short poem, whether or not from a collective work;
(4) a chart, graph, diagram, drawing, cartoon, or picture from a book, periodical, or newspaper;
(5) a single copy of an excerpt from a musical work, provided the excerpt is less than 10% of the entire work and is less than a performable unit, such as a section, movement, or aria; or,
(6) a single copy of an entire work, provided a copy cannot be obtained at a fair price.

Multiple Copies for Instructional Use

Multiple copies (not to exceed in any event more than one copy per pupil in a course) may be made by ~~or for the~~ faculty for classroom use or discussion; ~~provided that~~ copies in excess of this amount may be permissible in some circumstances under fair use. Copying ~~will~~ *may* not be repeated with respect to the same item for use by the same individual from term to term. In all circumstances other than the specific fair use guidelines described above for single or multiple copies, permission must be obtained from the copyright holder.

General Guidelines for Copyrights Related to Academic Activities

Reproduction by Libraries and Archives (17 U.S.C. § 108)

Under Section 108 of the Copyright Act, the library is authorized to exercise special rights in addition to fair use.

- To archive lost, stolen, damaged, or deteriorating works, if a replacement cannot be obtained at a fair price;
- To engage in isolated and related reproduction or distribution of a single copy for library patrons; and,
- To provide, at the request of another library, a copy of an article or book chapter through interlibrary loan. The library may acquire up to five copies of an article from a journal published within the last five years within a calendar year. If a request exceeds the five copies permitted, the library will pay copyright royalties to the Copyright Clearance Center for subsequent requests.

For works in the last 20 years of protection and not available at a fair price, more generous copying than indicated herein may be performed, provided the purpose of the copying is to support preservation, scholarship, or research.

Reserve Collections

It is strongly recommended that faculty link to items in the library's databases to the university's learning management system instead of duplicating materials for a class. Copies that are digitized for placement in the university's learning management system should be structured to limit access to students registered in the course for which the materials have been placed on reserve and to instructors and staff responsible for the course or the electronic system. *The availability of these materials should be limited to the duration of the course.*

When ~~digitizing~~ *duplicating* copyrighted works for this purpose, the following limitations should be observed:

- single articles or chapters; several charts, graphs or illustrations; or other small parts of a work;
- a small portion of materials required for the course; or,
- copies of materials a faculty member or the library already possesses legally (i.e., by purchase, license, fair use, interlibrary loan, etc.).
- *Digital Rights Management (DRM) protections on materials may not be circumvented.*

Course-pack Guidelines

The Fair Use Guidelines are applicable to course-packs. The faculty/staff member who compiles course-pack materials will be responsible for complying with ~~these~~ *the four factors of Fair Use.*~~guidelines.~~
Using a commercial copy shop does not necessarily relieve the course-pack creator of liability, unless the ~~above guidelines~~*four factors of Fair Use* are followed or the copy shop pays appropriate royalties. ~~Campus copy centers are not permitted to copy course-packs, unless these guidelines are followed.~~

Computer Software

Only explicitly stated freeware, not shareware or other licensed software, is allowed to be freely used without a license. Appropriate licenses must be obtained for all other software use. The software user is responsible for reading and complying with all license agreements. Other university computer use policies ~~will~~ also apply.

Guidelines for Music

The university maintains some general licenses for copyrighted music use with Broadcast Music Incorporated (BMI) and American Society of Composers, Authors and Publishers (ASCAP) for specific use areas (College of Fine Arts, Student Activities, etc.). Beyond those areas, use of music must be licensed or specific permission obtained. General guidelines for copying music are outlined below.

Copying will be limited to:

- entire works of sheet music for performance-related emergencies;
- performable units of sheet music (movements, sections, arias, etc.) if out of print;
- recordings of student performances for teacher or institutional evaluation or student's portfolio; and,
- one copy of sound recordings for classroom or reserve room use.

If emergency copies are made, they must be replaced with purchased originals as soon as practical.

Performances and Displays in Face-to-Face Teaching and Broadcasts

Educational institutions and governmental agencies are authorized to publicly display and perform others' works in the course of face-to-face teaching activities, and ~~to a limited degree,~~ in broadcasts ~~where there is a delayed transmission~~ of faculty instruction. These rights are described in Sections 110 (1) and (2) of the Copyright Act~~.~~ *(The TEACH Act).*

Performances and Displays in Distance Learning *(17 U.S.C. § 110 (1) (2)~~).~~ - the TEACH Act)*

Sections 110(1) and (2) of the Copyright Act ~~may~~ *does* not ~~cover~~ *supersede* fair use *under 17 U.S.C. § 107*of the ~~performance of others' works in online course materials~~*copyright act*. For

purposes of distance learning, ~~small~~ parts of others' works may be used for a limited time, and only if a faculty member or the institution possesses a legal copy of the work.

Access will be limited to students enrolled in the class and administrative staff, and will be terminated at the end of the class term.

Digitizing and Using Images for Educational Purposes

An image should be purchased or licensed if it is available at a fair price. If an image is not readily available online or for sale or license at a fair price, it ~~should~~ *may* be digitized ~~and~~ *if* used according to the following guidelines:

- Access should be limited to students enrolled in the class and administrative staff as needed, and terminate access at the end of the class term (use of "thumbnails" is typically considered fair use and may be used accordingly, without this more stringent restriction).
- Use of these images at conferences is permissible.
- Students may download, transmit, and print these images to complete academic requirements, and may keep works containing images in their portfolios.
- ~~Unnecessary copies are not permissible.~~

Digitizing and Using Others' Works in Multimedia Materials for Educational Purposes

The Conference on Fair Use (CONFU) suggests that: fair use adheres to specific numerical portion ~~limits~~*guidelines*; copies of the multimedia work should be strictly controlled; and fair use "expires" after two years. Although these are important considerations, CONFU ~~numerical limits~~*guidelines* do not constitute the outer limits of fair use for educational purposes.

The guidelines herein allow for the creation of unique works within the limitations provided, but not to make or distribute multiple copies. (Multimedia materials that will be licensed, distributed, or sold must obtain appropriate permission from each applicable copyright holder.)

Students, faculty, and staff may incorporate others' works into a multimedia work, and display and perform a multimedia work in connection with or creation of required academic and professional materials.

~~All employees who assist in making copies must comply with the fair use guidelines. All public copy machines or public copy centers on campus must have a warning notice on or near each machine which states that the responsibility for copyright infringement rests with the user. The use of printed copyright warnings transfers a portion of the responsibility for copyright compliance to the individual user.~~

Personal liability for copyright infringement can be created for willful acts. This policy has been formulated to provide specific guidance on the variety of circumstances where fair use is

permissible. The copyright law provides a good faith fair use defense (17 U.S.C. § 504(c)(2)). It applies only if the person who copied material reasonably believed that what he or she did was fair use.

Federal legislation entitled the No Electronic Theft (NET) Act creates criminal penalties for non-commercial copyright infringement of a sufficient dollar value. The academic community must be aware that distribution of pirated computer software or other copyrighted material on computer bulletin boards or other methods of distribution may constitute a federal crime, regardless of whether or not the infringer receives financial gain.

The Digital Millennium Copyright Act (DMCA) limits university liability as an internet service provider for certain copyright infringements created on-line. The university's registered agent for on-line copyright infringement complaints ~~will be~~*is* the general counsel. The DMCA establishes procedures whereby, upon receipt of proper complaints, the university will block access to or take down allegedly infringing material and notify the web page owner of the complaint. Alleged infringers may issue a counter-notice, which includes a signature, description of removed material, explanation why the material did not infringe any copyright, and their name, address and phone number, with a consent to the jurisdiction of the court to be sued. Upon receipt of this counter-notice, the university will re-post the material. Repeat infringers will be subject to termination of internet service by the university.

Recording of Broadcasts for Educational Use

Material transmitted for public programming by broadcast stations, cable systems, satellite, or any other transmission medium may be recorded and used for educational purposes in accordance with federal copyright law, except where forbidden by an explicit agreement between the parties originating and receiving the program or information. Broadcast programs are televised programs transmitted by television stations for reception by the general public without charge. Programs may not be recorded from a television satellite/cable unless these programs are authorized for free reception or the institution obtains a license to copy the programs.

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

(1) A broadcast transmission may be recorded off-air simultaneously with the broadcast transmission (including simultaneous cable retransmission) and retained by Stephen F. Austin State University (SFA) for a period not to exceed forty-five (45) consecutive calendar days after the date of the recording. Upon conclusion of the retention period, all off-air recordings must be erased or destroyed immediately by the holder of the recording.
(2) An off-air recording may be used only once by an instructor for relevant teaching activities, but may be repeated one other time when instructional reinforcement is necessary. All use of recordings must be in a classroom or in similar places devoted to instruction during the first

ten (10) consecutive school days in the 45-calendar-day retention period. School days are defined as school session days (not counting weekends, holidays, vacations, examination periods, or other scheduled interruptions) within the 45-calendar-day retention period.

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

(4) An off-air recording may be copied to a limited legitimate number of copies to meet the -needs of instructors under these guidelines. Each additional copy will be subject to all provisions governing the original recording and must contain the copyright notice of the broadcast program as recorded.

(5) If the instructor wishes to add the broadcast program to the curriculum, permission must be obtained from the copyright owner.

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

Further information can be obtained by accessing the webpage of the U.S. Copyright Office within the Library of Congress at: http://www.copyright.gov. The university's general counsel may be contacted with specific inquiries.

Cross Reference: 17 U.S.C. §§ 101-1332; No Electronic Theft (NET) Act, Pub. L. No. 105-147, 111 Stat. 2678; Digital Millennium Copyright Act (DMCA), Pub. L. No. 105-304, 112 Stat. 2860 (1998); CONFU Guidelines, ~~Computer and Network Security~~*Acceptable Use of Information Resources* (14.2); ~~Computing Software Copyright (9.1);~~ Digital Millennium Copyright (9.3)~~;~~

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

Contact for Revision: Library Director, 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: Student Records

Policy Number: 2.10

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: Enrollment Management

Purpose of Policy (what does it do): Policy represents the university's compliance statement with regards to the Family Educational Rights and Privacy Act (FERPA).

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: Removing "Class Roster" from the list of items designated as Directory Information will align the policy with best practices related to FERPA.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Mickey Diez, Registrar
Erma Brecht, Executive Director of Enrollment Management
Damon Derrick, General Counsel

Student Records

Original Implementation: 1974
Last Revision: ~~February 2, 2021~~*April 11, 2022*

The purpose of this policy is to comply with federal law which: (1) grants to students the right of access to their education records, (2) protects students from illegal use of their education records and (3) restricts the disclosure of the social security numbers of students.

I. Definitions

For the purposes of this policy, the university adopts the following definitions:

A. Student means any person who attends or who has attended the university.

B. Education records means any record (in handwriting, print, digital, tapes, film, or other medium) maintained by the university or an agent of the university which is directly related to a student, except:

1. a personal record kept by a staff member, if it is kept in the personal possession of the individual who made the record, and information contained in the record has never been revealed or made available to any other person except the maker's temporary substitute;
2. an employment record of an individual whose employment is not contingent on the fact that he/she is a student, provided the record is used only in relation to the individual's employment;
3. records maintained by the University Police Department if the records are maintained solely for law enforcement purposes, are revealed only to law enforcement agencies of the same jurisdiction, and the department does not have access to education records maintained by the university;
4. records maintained by University Health Services if the records are used only for treatment of a student and made available only to those persons providing the treatment;
5. records maintained by University Counseling Services if the records are used only for treatment of a student and made available only to those persons providing the treatment; and,
6. alumni records that contain information about a student after he/she is no longer in attendance at the university and the records do not relate to the person as a student.

C. A school official is a person employed by the university in an administrative, supervisory, academic, research or support staff position (including law enforcement unit personnel and health staff); a person or company with whom the university has

contracted as its agent to provide a service instead of using university employees or officials (such as an attorney, auditor or collection agent); a person serving on the Board of Regents; a scholarship committee, for the sole purpose of evaluating scholarship recipients; an outside individual/entity involved in the financial aid process reviewing information regarding financial aid eligibility; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks.

II. A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibilities for the university. University employees, including student employees, and others designated by the Registrar will annually complete Family Educational Rights and Privacy Act (FERPA) training. Initial training must be completed no later than thirty (30) days from start of employment or granting of access. If training is not completed as required, access to any system containing student information may be removed.

Annual notification is published on the SFA website and in the annual Welcome Edition of the Pine Log. Specific information may be obtained by consulting with administrative officials listed in this policy.

III. Student Rights

Each student has the right to:

A. receive a list of the types of education records maintained by the university;
B. inspect and review the contents of his/her records, excluding the exceptions included in this policy;
C. obtain copies of his/her records at personal expense if failure to provide such copy would effectively prevent the student from inspecting or reviewing the record;
D. receive explanations and interpretations of his/her records; and,
E. request a hearing to challenge the contents of his/her records.

IV. Procedure to Inspect Education Records

Students may inspect and review their education records upon request to the appropriate record custodian.

Students should submit to the record custodian or an appropriate university staff person a written request that identifies as precisely as possible the record or records they wish to inspect.

The record custodian or an appropriate university staff person will make the needed arrangements for access as promptly as possible and notify the student of the time and place

where the records may be inspected. Access must be given in 45 days or less from the receipt of the request.

When a record contains information about more than one student, the student may inspect and review only the records that relate to him/her.

V. Types and Custodians of Student Records

Type of Record	Content	Custodian
Academic	Grades, classification, academic standing, application for admission and admissions scores.	Registrar, Executive Director of Enrollment Management
Academic	Student Work products or artifacts	Instructor of Record, Department, or College
Financial	Amount of financial assistance given by university and type of assistance.	Director of Financial Aid and Scholarships, *Student Business Services* ~~Controller~~
Disciplinary	Nature of offense and type of university action.	Director of Student Rights and Responsibilities
Placement	Academic record and documents of recommendations	Director of the Center for Career and Professional Development.
Health	Medical history to include all treatment by university physicians.	Director of Health Services
Counseling	Test scores and counseling sessions.	Director of Counseling Services

VI. Fees for Copies of Records

The fee for copies of education records will be ten (10) cents per page.

VII. Right of University to Refuse Access

The university reserves the right to refuse to permit a student to inspect the following records:

A. the financial statement of the student's parents;

B. letters and statements of recommendation for which the student has waived his/her right of access, or that were placed on file before January 1, 1975;
C. records connected with an application to attend the university if that application was denied; and,
D. those records that are excluded from the definition of education records.

VIII. Refusal to Provide Copies

The university reserves the right to deny transcripts or copies of records not required to be made available by law in any of the following situations:

A. the student has an unpaid financial obligation to the university.
B. there is an unresolved disciplinary action against the student.

IX. Disclosure of Education Records

The university will disclose information from a student's education records only with the written consent of the student, except:

A. to school officials who have a legitimate educational interest in the records;
B. to officials of another school, upon request, in which a student seeks or intends to enroll;
C. to certain officials of the U.S. Department of Education, the Comptroller General, and state and local educational authorities, in connection with certain state or federally supported education programs;
D. in connection with a student's request for or receipt of financial aid, as necessary to determine the eligibility, amount or conditions of the financial aid, or to enforce the terms and conditions of the aid;
E. in compliance with a state law requiring disclosure that was adopted before November 19, 1974;
F. to organizations conducting certain studies for or on behalf of the university;
G. to accrediting organizations to carry out their functions;
H. to parents of an eligible student who claim the student as a dependent for income tax purposes, unless the student has a confidentiality request on file;
I. to comply with a judicial order or a lawfully issued subpoena;
J. to appropriate parties in a health or safety emergency; and
K. other disclosures that the Family Educational Rights and Privacy Act (FERPA) authorizes without consent.

Proof of status from the requesting individual or organization will be required to gain access to education records.

X. Record of Requests for Disclosure

The university will maintain a record of all requests for and/or disclosure of information from a student's education records. The record will indicate the name of the party making the request, any additional party to whom it may be disclosed, and the legitimate interest the party had in requesting or obtaining the information. The record of requests may be reviewed by the student.

XI. Directory Information

The university designates the following items as directory information:

A. name,
B. all addresses, including university issued email addresses,
C. all telephone numbers,
D. major field of study,
E. academic classification,
F. participation in officially recognized activities and sports,
G. weight and height of members of athletic teams,
H. dates of attendance and enrollment status,
I. degrees and awards received,
J. previous schools attended,
K. photograph, and
~~L. class roster.~~

The university may disclose any of these items without prior written consent, unless the student files a Request to Prevent Disclosure of Directory Information form with the Registrar's Office. Students have until the twelfth-class day of a regular semester or the fourth-class day of a condensed semester to file the form before information may be released by the university for that semester.

XII. Review and Destruction of Education Records

The university may destroy obsolete records provided the right to access has been followed as outlined in Section 3 of FERPA.

XIII. Correction of Education Records

A student has the right to request a correction on his/her education records that he/she believes is inaccurate, misleading or in violation of his/her privacy rights. The university shall attempt to settle the disputed contents of an education record by informal proceedings. If informal proceedings fail to achieve a satisfactory settlement, the student may request a formal hearing using the following procedures.

A. To receive a hearing, a student must file a written request with the president of the university. In so doing, the student should identify the part of the education record he/she wants amended and specify why he/she believes it is inaccurate, misleading or in violation of his/her privacy rights.

B. Within 10 working days of receiving the request, the president will arrange for a hearing, and notify the student at least five working days in advance of the date, place and time of the hearing.

C. The hearing will be conducted and the decision rendered by a hearing officer, appointed by the president, who does not have a direct interest in the outcome of the case. The president shall name the hearing officer in the written notice sent to the student.

D. The student shall be afforded a full and fair opportunity to present evidence relevant to the issues listed in the original request to amend his/her education records.

E. The hearing officer will prepare a written decision based solely on the evidence presented at the hearing.

F. If the hearing officer decides that the disputed contents of the education record are inaccurate, misleading or in violation of the student's right to privacy, the officer will amend the record and notify the student in writing that the record has been amended.

G. If the hearing officer decides that the disputed contents of the education record are not inaccurate, misleading or in violation of the student's right to privacy, the officer will notify the student of his/her right to place a statement in the education record commenting on the disputed contents and/or a statement setting forth the student's reasons for disagreeing with the decision.

H. The student's statement will be maintained as part of the student's education record as long as the disputed contents are maintained by the university. If the university discloses the disputed contents of the education record to any person, it must also disclose the student's statement to the person.

XIV. Disclosure of Social Security Number

Federal law requires that when any federal, state or local government agency requests an individual to disclose his/her social security number (SSN), that individual must also be advised whether that disclosure is mandatory or voluntary, by what statutory or other authority the number is solicited, and what uses will be made of it. Accordingly, students, or applicants for admission as students, are advised that disclosure of a student's SSN is mandatory as a condition for participation in certain activities at the university.

Under the mandatory category, the SSN is used to verify the identity of the student, and as an identifier to record necessary data accurately for activities such as admissions; housing and food services; determining and recording eligibility for student financial assistance to include loans, scholarships, and grants; student employment; recording entitlement to and

disbursement and repayment of loans; recording entitlement to and payment of scholarships, grant allowances, and official student travel and per diem; determining and recording eligibility for and participation in athletic and similar events; and other related requirements which may arise.

Disclosure of a student's SSN is voluntary for certain other activities. Under the voluntary category, the SSN is used to verify the identity of the student and to record data accurately for such activities as testing, reporting and evaluation of the ACT and the SAT; recording and reporting student grades and related academic data; registering for placement services to include preparation of resumes and furnishing information to prospective employers and such other related uses which may arise.

Authority for requiring the disclosure of a student's SSN is grounded in federal law that provides that an agency may continue to require disclosure of an individual's SSN as a

condition for the granting of a right, benefit or privilege provided by law where the agency required this disclosure under statute or regulation prior to January 1, 1975, in order to verify the identity of an individual.

Pursuant to statutes passed by the state of Texas and the federal government and to regulations adopted by agencies of the state of Texas and the federal government, and by the Board of Regents of the university, the disclosure of the SSN may be required on student application forms and other necessary student forms and documents.

Cross Reference: Family Educational Rights and Privacy Act of 1974, 20 U.S.C. § 1232g; 34 C.F.R. Part 99; 5 U.S.C. § 552a

Responsible for Implementation: Executive Director of Enrollment Management

Contact for Revision: Executive Director of Enrollment Management; 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: University Letterhead (and Email Signatures)

Policy Number: 15.5

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: Chief Marketing Communications Officer

Purpose of Policy (what does it do): Explains standards and processes for having consistent representation of university information in correspondence

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: This review adds Email Signatures, which serve a similar function to University Letterhead. Both are included in official university correspondence and represent the official nature of included materials. Consistency of brand identity and authority are vital to institutional authority. This change includes limitations on the personalization available to email signatures, in the interest of preserving the university against misunderstandings of its official positions, values and views.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

University Letterhead *and Email Signatures*

Original Implementation: May 9, 1985
Last Revision: April ~~30, 2019~~*11, 2022*

University departments are required to use ~~printed and/or electronic~~ letterhead *and email signature blocks* as designated by the president and produced by *the Division of* University ~~Printing Services.~~ *Marketing Communications (UMC). Shops or vendors which produce printed letterhead must be qualified as designated by UMC.*

Letterhead design must be developed or approved by the Division of University Marketing Communications, in compliance with current style and graphic identity standards. Email signatures are considered a form of letterhead, representing official university communication and presentation of the university's brand.

Employees may not add other logos, images, colors, mottos, symbols, quotations, taglines or other statements to the email signature block, as these may be misunderstood as representing the university's official positions, values or views (see Policy 14.2 and 15.1).

All faculty and staff shall comply with this policy by creating an approved email signature block and using it consistently when communicating via their university email accounts. Should there be noncompliance to this policy, the individual's supervisor and/or ~~*vice president*~~*president's cabinet member will enforce compliance through appropriate policy.*

Ordinarily, sub-units of departments use the letterhead of the parent department, especially if the unit's correspondence is primarily with students. However, if the sub-unit is of a permanent or semi-permanent nature and has ~~a majority of its~~*significant* correspondence with off-campus agencies or individuals, it can be identified under the name of the parent unit on the letterhead. If a unit is independent of any department and is of a permanent or semi-permanent nature, it may have its own letterhead, consistent with the university design.-

Information in the stationery heading includes the university name; the name of the unit or department; post office box, telephone *and/*or fax number; general email address*; short web* ~~*URL*~~*uniform resource locater (URL)*; and city, state, and zip code.

Any deviation from the university letterhead design *or email signature block* must be approved by ~~the president.~~*UMC.* Requests to deviate from ~~the~~ standard ~~letterhead~~ design ~~should~~*may* be directed, in writing, to the ~~executive director~~*chief marketing communications officer in the Division* of University Marketing Communications.

Cross Reference: ~~None~~*14.2 "Acceptable Use of Information Resources," and 15.1 "Email for University Communication"*

Responsible for Implementation: ~~Vice President for University Advancement~~ *Chief Marketing Communications Officer*

Contact for Revision: ~~Executive Director~~*Division* ~~of University Marketing Communications,~~ *Chief Marketing Communications 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: University Publications (Mass Email and Webpages)

Policy Number: 15.8

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: Chief Marketing Communications Officer

Purpose of Policy (what does it do): Provides guidelines to ensure materials promoting or representing the university are followed to ensure accuracy, professionalism, character, integrity and accreditation status of the institution

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: This review adds Mass Email and Webpages, which are increasingly used and even outpacing the use of University Publications to represent the institution. This revision includes additional formats and materials used in the advent of digital technology. It clarifies the involvement of UMC in planning, executing, and approving materials.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

University Publications*, Mass Email, and Webpages*

Original Implementation: March 15, 1977
Last Revision: April ~~30, 2019~~*11, 2022*

~~To assure that communication to the general public contains accurate and current information and presents, through both content and appearance, a professional image that properly reflects the character, integrity, and accreditation status of the institution, official~~*Official* university publications*, mass emails, webpages* and ~~non-broadcast~~ video ~~presentations~~ intended ~~for off-campus distribution,~~*to promote* or ~~on-campus distribution to non-~~*represent the* university ~~individuals~~ or ~~groups (those not employed by or enrolled in the university),~~*its activities* must be approved by *the Division of* University Marketing Communications prior to printing or electronic distribution~~. Communication intended solely for students and/or university employees is not subject to this approval policy.~~ *or publication to ensure accuracy, professionalism, character, integrity and accreditation status of the institution.*

Examples of ~~communication~~*communications* that must be submitted for approval include ~~academic bulletins~~*, though are not limited to*, brochures, flyers, invitations, ~~pamphlets~~*mass emails*, handbooks, newsletters, program announcements, advertising (newspaper, magazine, radio, television, online, billboards, posters, etc.), and publications for intercollegiate athletics (media guides, programs, newsletters, etc.).

~~This approval policy applies to publications printed~~*While such materials must be reviewed* by ~~on-campus or off-campus printers~~*the Division of University Marketing Communications, the university prioritizes materials directly related to*, and ~~departments using desktop publishing or video equipment.~~*which display proven progress toward, student recruitment, enrollment and donor relations.*
University communication and marketing efforts must be planned, executed, or approved by the Division of University Marketing Communications. Review may include any or all of the following: ~~writing~~*copywriting*, editing*, formatting, coding, web design*, layout and graphic design, ~~videotaping~~*photographing, video recording*, video editing, and assessing visual and audio content. ~~Assistance with scheduling and purchasing advertising placements, preparing specifications required for competitive bidding, and coordinating production schedules and delivery with outside vendors also may be provided.~~

Without approval of the materials from *the Division of* University Marketing Communications, university procurement will not issue a purchase order for advertising or off-campus printing services.

Prior to submission to University Marketing Communications ~~for approval~~, a publication or advertisement should be reviewed and approved in writing ~~(use Approval for Printing form available on the University Marketing Communications website)~~ by the appropriate authorities

within the department and division. *Once internally approved, the department, office, or division must submit the piece for final approval through the Division of University Marketing Communication's online service desk.*

Allow at least 10 working days for *the Division of* University Marketing Communications to review materials, but it is strongly encouraged that materials be submitted well in advance of publication or printing deadlines, as revisions may be required *and also may include a redesign by University Marketing Communications*.

Upon approval by *the Division of* University Marketing Communications, the ~~head~~*designee* of the originating department ~~or a designee will~~*may* work directly with *the SFA Graphic Shop, the Division of* University ~~Printing Services~~*Marketing Communications* or Procurement and Property Services to initiate the printing process. If an off-campus printer is used and competitive bidding is required, *the Division of University Marketing Communications and/or* Procurement and Property Services will develop specifications and secure bids as required by the Best Value Procurement ~~Policy~~*policy* (17.1).

Materials submitted to ~~University Printing Services~~*the SFA Graphic Shop* or Procurement and Property Services without proper approval will be returned to the originating department. If a department uses its own equipment or an outside vendor to print a publication or produce radio and television advertisements or video presentations, University Marketing Communications must authorize printing*, publication,* or distribution.

The president may authorize individual exemptions to ~~the university publications~~*this* policy. Such a request must be made in writing to the ~~executive director~~*chief marketing communications officer of the Division* of University Marketing Communications.

All university publications should clearly reflect the date the publication is produced or initially distributed. —This includes publications sponsored by or purchased for distribution by the university or released by research firms, consulting firms or other private institutions under contract with the university. This does not include correspondence, memos or other routine forms.

Cross Reference: None

Responsible for Implementation: ~~Vice President for University Advancement~~*Chief Marketing Communications Officer*

Contact for Revision: ~~Executive Director of University~~*Chief* Marketing Communications *Officer*

Forms: Approval for Printing (available from ~~University Printing Services~~*the SFA Graphic Shop*)

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:

Safety and Security Audit
Conflicts of Interest Audit
Business Office Cash Count
Annual Risk Assessment
Quality Assurance Review Self-Assessment
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:

Love Advertising, Inc.
Symmetry Sports, LLC
Texas General Land Office acting through Cavallo Energy Texas, LLC

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
April 10, 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: *Love Advertising, Inc.*

Description of Contract: Digital advertising services

Vendor Awarded Contract: Love Advertising, Inc.

Procurement Method: Request for Proposal #Media Buy-21

Department Responsible for Contract: University Marketing Communications

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $250,000.00

Total Estimated Aggregate Amount: $1,250,000.00

Contract Period: 1/3/2022-1/02/2027

Board Approved: November 2021

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254

Vendor contract: *Symmetry Sports, LLC*

Description of Contract: Athletic turf replacement at Homer Bryce Stadium. Subsequent amendment in the amount of $76,150 to add 1.5" of Type D asphalt to entire track and extend delivery date to 1/31/22.

Vendor Awarded Contract: Symmetry Sports, LLC

Procurement Method: Cooperative Contract-The interlocal Purchasing System (TIPS)

Department Responsible for Contract: Physical Plant

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $76,150.00

Total Estimated Aggregate Amount: $1,346,950.00

Contract Period: 6/01/2021-1/31/2022

Board Approved: April 2021

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254

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. Subsequent amendment to extend to 12/31/23.

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: $18,270,705.01

Contract Period: 9/1/2017-12/31/2023

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

Summary of Contracts

Stephen F. Austin State University

Summary of Contracts

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

Finance Committee -April 10, 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
Digital advertising services in accordance with RFP#Media Buy-21, opened 10/6/2021, and agreement dated 01/03/2022.	Love Advertising, Inc.	Request for Proposal	UMC	None	$ 250,000.00	$ 1,250,000.00	1/03/2022 - 1/02/2027	November 2021
Athletic turf replacement at Homer Bryce Stadium project-includes replacement of the Homer Bryce Stadium football field artificial turf and the Fletcher Garner track. Subsequent amendment in the amount of $76,150 to add 1.5" of Type D asphalt to entire track and extend delivery date to 1/31/22.	Symmetry Sports, LLC	Cooperative Contract-The Interlocal Purchasing System	Physical Plant	None	$ 76,150.00	$ 1,346,950.00	6/01/2021- 1/31/2022	April 2021
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. Subsequent amendment to extend 16 months to 12/31/23.	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	$ 18,270,705.01	9/1/2017-12/31/2023	Dec 2012 (Electricity contract authorization)

GRANT AWARDS

Explanation:

For fiscal year 2022, the multi-year grant award total is currently $81,396,542. Of this total, grant awards allocable to fiscal year 2022 are currently $28,119,930, an increase of $196,198 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 $196,198. The grant awards are detailed as presented.

Report to the Board of Regents – April 2022
Grants[1] awarded between and January 1, 2022 and March 15, 2022

Fiscal Year 2022 – *as of March 15, 2022*

Amounts allocable to FY22 (detailed in this report)	
Federal funds (direct and pass-through)	$ 94,998
State Funds (direct and pass-through)	$ 51,000
Private and Local Government	$ 50,200
TOTAL	**$ 196,198**
New awards, FY22 (detailed in this report, all project years)	**$ 152,245**
Cumulative amount allocable to FY22	**$28,119,930**
Cumulative award total FY22, all project years	**$81,396,542**
Federal Financial Aid Funds *(not included in ORGS totals)*	*$ 9,834,534*

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

Federal Funds (direct and pass-throughs)

Title **** Continuation of the Attoyac Bayou Watershed Protection Plan Implementation, Phase II***
Sponsor: Texas AgriLife Research (prime: Texas State Soil & Water Conservation Board from US Environmental Protection Agency)
Award Term: November 22, 2021 to November 30, 2024
PI/PD: Dr. Matthew McBroom, Forestry
Total Award: $67,694 **Amount Allocable to FY22**: $33,847
New research award to continue the watershed protection plan development for the Attoyac Bayou. Funds provided for graduate student.

Title **** Stephen F. Austin State University Campus and Community Citizens Police Academy***
Sponsor: US Department of Justice
Award Term: September 1, 2021 to August 31, 2022
PI/PD: Whitney Mask, University Police Department
Total Award: $38,849 **Amount Allocable to FY22**: $38,849
Funds provided for a citizens' police academy to bring together students, staff, faculty, as well as Nacogdoches County residents. These academies will showcase campus police duties, activities, and policies with speakers and hands-on activities.

**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 – April 2022
Grants[1] awarded between and January 1, 2022 and March 15, 2022

Title **** 2021 Relief Grant for Stone Fort Museum***
Sponsor: Humanities Texas (prime: American Rescue Plan - National Endowment for the Humanities)
Award Term: September 1, 2021 to December 31, 2022
PI/PD: Carolyn Spears, Stone Fort Museum
Total Award: $9,547 **Amount Allocable to FY22**: $9,547
This grant will help fund student workers at the Stone Fort Museum whose budget was negatively impacted with the university and state budget cuts.

Title **** 2021 Relief Grant for East Texas Research Center: Transcribing Historic Records***
Sponsor: Humanities Texas (prime – American Rescue Plan - National Endowment for the Humanities)
Award Term: September 1, 2021 to December 31, 2022
PI/PD: Linda Reynolds, Ralph W. Steen Library
Total Award: $7,755 **Amount Allocable to FY22**: $7,755
This grant will fund student workers in the East Texas Research Center who will work on transcribing 19th and 20th century oral histories.

Title **** Open Education Resources (OER) Course Development and Implementation Grant***
Sponsor: Texas Higher Education Coordinating Board (prime: Governor's Emergency Education Relief - US Department of Education)
Award Term: August 13, 2021 to August 31, 2022
PI/PD: Dr. James Van Kley, Biology
Total Award: $5,000 **Amount Allocable to FY22**: $5,000
Dr. James Van Kley will receive grant funds for his summer salary to teach a Biology 1308 course integrating the Open Educational Resources textbook. This OER textbook and supplemental materials are provided free to the students.

***Subtotal Federal Amounts Allocable to* FY22 *(this report)* = $ 94,998**
***Subtotal New Federal Awards* (*total award*) = $ 128,845**

**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 – April 2022
Grants[1] awarded between and January 1, 2022 and March 15, 2022

Federal Financial Aid Funds ***(not included in ORGS totals)***
Agency: Department of Education
Manager*:* Rachele Garrett, Financial Aid

Additional funds for the below:

PELL Grants	FY22 Funds	$9,693,070
TEACH, graduate	FY22 Funds	$ 8,000
TEACH, undergraduate	FY22 Funds	$ 133,464

State Funds (direct and pass-through)

Previously Described Awards:
Repatriation of Illegally Collected Alligator Snapping Turtles back into Texas Waters
Dr. Chris Schalk, Forestry
Award Total: $95,000 ***Amount allocable to FY22:** $50,000

****Peers against Tobacco Program – FY22***
Jessica Waguespack, Campus Recreation
Award Total: $1,000 **Amount allocable to FY22:** $1,000

***Subtotal State Amounts Allocable to* FY22 *(this report)* = $51,000**
***Subtotal New State Awards (total award)* = $96,000**

**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 – April 2022
Grants[1] awarded between and January 1, 2022 and March 15, 2022

Private Entity and Local Government Awards

Title **** Assessing Drivers of Long-Term Population Declines I Game and Non-Game Wildlife Species***
Sponsor: Rob and Bessie Welder Wildlife Foundation
Award Term: January 1, 2022 to December 31, 2022
PI/PD: Dr. Jessica Glasscock, Forestry
Total Award: $14,700 **Amount Allocable to FY22**: $14,700
Research funds provided for graduate student thesis project.

Title **** American Society for Biochemistry and molecular Biology (ASBMB) Student Chapter Inaugural Scientific Outreach***
Sponsor: American Society for Biochemistry and Molecular Biology
Award Term: November 24, 2021 to August 31, 2022
PI/PD: Dr. Odutayo Odunuga, Chemistry
Total Award: $500 **Amount Allocable to FY22**: $500
Funds provided for the ASBMB student chapter to develop a STEM outreach event for high school students to increase their interest in STEM fields.

Previously Described Awards:
Tallow Control on the Greens Bayou Wetlands Mitigation Bank, Phase II
Dr. Jeremy Stovall, Forestry
Award Total: $60,000 ***Amount allocable to FY22:** $30,000

Henderson Wildlife Research Institute Support
Dr. Jessica Glasscock, Forestry
Award Total: $21,099 ***Amount allocable to FY22:** $5,000

***Subtotal Private and Local Amounts Allocable to* FY22 *(this report)* = $50,200**
***Subtotal New Private and Local Awards (total award)* = $57,400**

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.

ON-CAMPUS RESIDENTIAL WIRELESS SERVICE AND UPGRADE

Explanation:

In Fall 2021, the Division of Student Affairs in conjunction with Information Technology Services (ITS) and Procurement and Property Services conducted a Request for Proposals (RFP) to collect, investigate, and assess financial proposals for the potential outsourcing of on-campus residence hall wireless upgrades and services.

Through the RFP process, the committee determined that completing the work internally through ITS was the best value and approach. Options were reviewed to pay for this expense, and it was determined that utilizing the auxiliary fund balance was the best approach. Revenue would be allocated from Campus Living, Dining, and Auxiliary Services, a unit within the Division of Student Affairs, to replenish the auxiliary fund balance from this expense.

Recommendation:

The administration recommends approval of the residence life wireless network upgrade project at a cost not to exceed $3,200,000. The source of funds is auxiliary fund balance. The administration further recommends authorization to sign associated purchase orders and contracts as necessary.

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:

Distribution of Payroll 12.3
Facilities and Administration (Indirect) Cost Recovery, Distribution and Use 8.5
Family and Medical Leave 12.9
Fixed Amount Awards 8.12
Institutional Reserves Fund 3.19*
Lumberjack Education Assistance Program 12.5 **-- TABLED**
Payment Card Acceptance and Security 14.8
Receipts and Deposits 3.26
Student Accounts Receivable 3.28*
Travel 3.29

*Note: Change includes a change to the policy name.

3.19 – Institutional Reserves
3.28 – Student and Non-student Accounts Receivable

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Distribution of Payroll

Policy Number: 12.3

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

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): University employees are paid monthly or semi-monthly for work done in the previous month. It is SFA's intent to pay all employees by direct deposit. However, if an employee has not authorized direct deposit, a payroll check will be produced and should be picked up at the Business Office.

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: The content of this policy is procedural in nature and it is recommended that the policy be removed and included in procedure.

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Kay Johnson, Executive Director of Finance and Adminstrative Services
Damon Derrick, General Counsel

~~Distribution of Payroll~~

~~**Original Implementation:** Unpublished~~
~~**Last Revision:** April *11/*30, 202219~~

~~Purpose~~

~~This policy establishes when and how university employees will be paid.~~

~~General~~

~~University employees are paid monthly or semi-monthly for work done in the previous month. It is SFA's intent to pay all employees by direct deposit. However, if an employee has not authorized direct deposit, a payroll check will be produced and should be picked up at the Business Office.~~

~~Payroll Schedule~~

~~Salaried employees are paid on the first day of the month. Hourly employees are paid on the 1st and 15th of the month. If the 1st or 15th falls on a weekend or holiday, employees are paid on the first working day following the weekend or holiday.~~

~~Form of Payment~~

~~Direct deposits can be made electronically to any financial institution that accepts electronic transfers. The employee may designate more than one institution and more than one account per institution. It is the employee's responsibility to verify that their pay has been properly deposited into their account(s). Direct deposits will be inactivated after an employee terminates employment at the university and the final payroll has been issued.~~

~~If an employee has not authorized direct deposit, a payroll check will be produced. Payroll checks are released at the Business Office at 11:00 a.m. on paydays. Picture identification is required of the employee picking up his/her payroll check.~~

~~Release of payroll check to another person~~

~~An employee wishing to have his/her payroll check released to another individual must provide that individual with signed authorization. The authorization must be presented to the Business Office, along with picture identification of both the employee and the person obtaining the check.~~

~~The employee's identification must also include a sample of the employee's signature, which can be compared with the signed authorization (e.g., a state driver's license).~~

~~Mailing of payroll check~~

~~An employee wishing to have his/her payroll check mailed must provide a signed authorization and self-addressed stamped envelope to the Business Office. The check will be mailed on the payday.~~

~~Lump Sum Payment of Accrued Vacation Time and/or Compensatory Time~~

~~Payment of accrued vacation time and/or compensatory time is made when an eligible employee resigns, is dismissed, or otherwise separates from state employment. Exempt employees receive payment for accrued vacation but not compensatory time. Non-exempt employees receive payment for both accrued vacation and compensatory time. These final payments are considered non-salary payments and may be reduced by any amounts due the university.~~

~~When an employee moves from a non-exempt to an exempt position, the employee is paid for any accrued compensatory time that was earned at the rate of 1-1/2 times the employee's regular rate of pay. Any accrued compensatory time that was earned at the employee's regular rate of pay will be carried forward to the exempt position.~~

~~Cross Reference:~~ ~~None~~

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

~~Contact for Revision:~~ ~~Controller~~

~~Forms:~~ ~~Direct Deposit Authorization Form~~

~~Board Committee Assignment:~~ ~~Finance and Audit~~

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Facilities and Administration (Indirect) Cost Recovery, Distribution and Use

Policy Number: 8.5

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): Grants related policy in regards to indirect costs of grants.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor updates.

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

Facilities and Administrative (Indirect) Cost Recovery, Distribution and Use

Original Implementation: October 26, 1999
Last Revision: ~~January 29, 2019~~*April 11, 2022*

Facilities and administrative (F&A) costs, also known as indirect costs (IDC) are expenses that cannot be directly charged or easily allocated to a specific externally sponsored grant, contract, or other sponsored agreement (grant). Examples of F&A costs include facilities expenses such as utilities, custodial services, and physical plant; and administrative expenses such as salaries and operating costs for departments such as human resources, the controller, payroll, accounts payable, legal counsel, procurement/property services, travel, technology services, library, audit services, and sponsored projects. They may also include departmental and college administrative costs such as clerical support, telephone, and copying.

F&A cost rates are negotiated by the university with a federal cognizant agency, which for SFA is the Department of Health and Human Services. In accordance with 2 C.F.R.§ 200.414(c), federal agencies must accept these negotiated rates unless a different rate is required by regulation, statute, or program.

F&A Cost Recovery

The principal investigator (PI) or project director (PD) must include F&A cost rates in a proposed budget for all grants and will use the university's full, federally negotiated F&A rate unless a sponsor has a formal, written policy that specifically limits or disallows payment of F&A costs.

In extraordinary circumstances, a PI/PD may request a reduction of F&A costs. As such a reduction is a financial loss to the university, all reduction requests must be approved by the provost and vice president for academic affairs~~,~~ and the vice president for finance and administration before a budget with a reduced F&A rate is submitted to a sponsor for consideration. This applies to all forms of grants, contracts, and other sponsored agreements (grants). Failure to comply may require a budget revision and/or renegotiation of a grant and may jeopardize or delay receipt of an award. A PI/PD is not authorized to negotiate an F&A rate reduction with a sponsor.

Recovered F&A Distribution and Use

Recovered F&A is subject to the provisions of the Texas Education Code, Section 145.001: "The retained funds are subject to the following requirements:

(1) The funds shall be expended under guidelines approved by the institution's governing board for projects encouraging further research at the unit, agency, or department level at which the research was conducted, including:

(A) conducting early pre-grant feasibility studies;

(B) preparing competitive proposals for sponsored programs;
(C) providing carryover funding for research teams to provide continuity between externally funded projects;
(D) supporting new researchers pending external funding;
(E) engaging in research programs of critical interest to the general welfare of the citizens of this state;
(F) purchasing capital equipment directly related to expanding the research capability of the institution; and
(G) research or project administrative costs; and

(2) the funds remaining after the application of Subdivision (1) shall be used by a general academic teaching institution or a medical or dental unit to support research as approved by a general academic teaching institution or a medical or dental unit."

If a project includes the full F&A rate as allowed by the sponsor, the academic units that generate the recovered F&A costs will receive a portion of the F&A recovered in a fiscal year. The university retains 55% of recovered F&A for university expenses with the remainder distributed based on a formula recommended by the University Research Council and approved by the provost and *executive* vice president for academic affairs. If an F&A rate reduction was granted for a project, the amount recovered from that project will be excluded from the distribution formula. The distributions are made after the close of each fiscal year based on F&A costs recovered the previous fiscal year. Reports summarizing the use of these funds must be submitted to the ~~controller's office~~*Office of Financial Reporting* annually. The administrative cost allowance generated by financial aid programs is not considered in the distribution formula.

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

Cross Reference: 2 C.F.R. §§ 200.56,.57,.306,.414; Tex. Educ. Code § 145.001; ORGS Grants and Contracts Procedures Manual

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

Contact for Revision: Dean, Office of Research and Graduate Studies

Forms: Facilities and Administration (F&A/Indirect Cost, IDC) Reduction Request

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Family and Medical Leave

Policy Number: 12.9

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 explains who is eligible for family and medical leave and defines related terms. It also provides information for employees who may need to request family and medical leave.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Minor wording changes for consistency within the policy.

Reviewers:

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

Family and Medical Leave

Original Implementation: August 5, 1993
Last Revision: April *11*~~30~~, 202*2*~~19~~

Purpose

This policy explains who is eligible for family and medical leave and defines related terms. It also provides information for employees who may need to request family and medical leave.

Definitions

Applicable Paid Leave - Sick leave and vacation accruals.

Spouse - Those recognized as spouses by the *S*~~s~~tate of Texas.

Parent - Includes biological parents and individuals who act as the employee's parents, but does not include parents-in-law.

Child/Son or Daughter - Legally recognized, including biological, adopted, foster children, stepchildren, and legal wards, who are under eighteen (18) years of age or eighteen (18) years of age or older and incapable of self-care because of mental or physical disability. For purposes of qualifying exigency leave, an employee's son or daughter on covered active duty refers to a child of any age.

Serious Health Condition - Any illness, injury, impairment, or physical or mental condition that involves: (1) any incapacity or treatment in connection with inpatient care; (2) any incapacity or treatment requiring absence of more than three calendar days and continuing treatment by a health care provider; or, (3) continuing treatment by a health care provider of a chronic or long- term condition that is incurable or will likely result in incapacity of more than three days if not treated.

Continuing Treatment - Includes: (1) two or more treatments by a health care provider; (2) two or more treatments by a provider of health care services (i.e., physical therapist) on referral by or under orders of a health care provider; (3) at least one treatment by a health care provider which results in a regimen of continuing treatment under the supervision of the health care provider (i.e., a program of medication or therapy); or, (4) under the supervision of, although not actively treated by, a health care provider for a serious long-term or chronic condition or disability which cannot be cured (i.e., Alzheimer's or severe stroke).

Health Care Provider - Includes: licensed medical (MD) and osteopathic (OD) doctors, podiatrists,

dentists, clinical psychologists, optometrists, chiropractors authorized to practice in the State, nurse practitioners and nurse-midwives authorized under state law, and Christian Science practitioners.

Needed To Care For - Encompasses: (1) physical and psychological care for a family member; and, (2) where the employee is needed to fill in for others providing care or to arrange for third party care of the family member.

Unable to Perform the Functions of the Employee's Job - Describes when an employee is (1) unable to work at all; or, (2) unable to perform any of the essential functions of ~~his/her~~*their* position. The term "essential functions" is borrowed from the Americans with Disabilities Act (ADA) to mean "the fundamental job duties of the employment position," and does not include the marginal functions of the position.

Qualifying Exigencies - Describes situations arising from the military deployment of an employee's spouse, son, daughter, or parent to a foreign country. Qualifying exigencies for which an employee may take FMLA leave include issues arising from the military member's short notice deployment; or making alternative child care arrangements —for a child of the military member when the deployment of the military member necessitates a change in the existing child care arrangement; attending certain military ceremonies and briefings; attending counseling for the employee, the military member, or the child of the military member; or taking leave to spend time with a military member on Rest and Recuperation leave —during deployment; or making financial or legal arrangements to address a covered military member's absence; or certain activities related to care of the parent of the military member while –the military member is on covered active duty; or any other event that the employee and employer agree is a qualifying exigency.

Short Notice Deployment - ~~d~~*D*eployment within seven or less days of notice.

Covered Servicemember - A current member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness. "Covered servicemember" also includes veterans discharged under conditions other than dishonorable within the five-year period before you first take military caregiver leave to care for that veteran. A serious injury or illness is one that is incurred by a servicemember in the line of duty on active duty that may cause the servicemember to be medically unfit to perform the duties of ~~his/her~~*their* office, grade, rank, or rating. A serious injury or illness also includes injuries or illnesses that existed before the servicemember's active duty and that were aggravated by service in the line of duty on active duty.

General

Employees are eligible to take family~~/~~ *and* medical leave within any 12-month period and be restored

to the same or an equivalent position upon return from leave, provided that the employee has worked for the *s*~~S~~tate of Texas for at least twelve (12) months and for at least 1,250 hours within the previous twelve (12) month period. Leave without pay may begin after all available applicable paid leave has been exhausted and will be included in the twelve (12) weeks of Family and Medical Leave Act (FMLA) time. Applicable Sick Leave Pool benefits, donated sick leave, and leave resulting from Workers' Compensation claims (See Workers Compensation Coverage, Policy 12.23) will be included in the twelve (12) week period.

Reasons for Family *and* ~~/~~Medical Leave

Eligible faculty and staff may take up to 12 workweeks of leave in a 12-month period of family *and* ~~/~~medical leave for any of the following reasons:

1. The birth of a child or placement of a child with the employee for adoption or foster care;
2. To care for a spouse, child, or parent who has a serious health condition;
3. For a serious health condition that makes the employee unable to perform the essential functions of his or her job; or
4. For any "qualifying exigency" arising out of the fact that a spouse, son, daughter, or parent is a military member on covered active duty or has been notified of an impending call to covered active duty status.

Eligible faculty and staff may take up to 26 workweeks of leave in a 12-month period of family and medical leave for the following reason:
~~An eligible employee may also take up to 26 workweeks of leave during a single 12-month period t~~*T*o care for a covered servicemember with a serious injury or illness, when the employee is the spouse, son, daughter, parent, or next of kin of the servicemember.

For purposes of FMLA, a rolling twelve (12) month period will be measured backward from the date leave begins.

Leave because of birth of a child or placement of a child with the employee for adoption or foster care must be completed within the twelve (12) month period beginning on the date of birth or placement. An employee is allowed to use sick leave for the period of time that is certified by the physician to recover from childbirth. An employee may take additional time off before returning to work requesting up to 12 weeks of leave for the birth or placement of a child under FMLA. However, the employee may not use sick leave for ~~-~~the remaining time unless the employee or the child is actually sick. In addition, spouses employed by Stephen F. Austin State University who request leave because of these reasons or to care for an ill parent may only take a combined total of twelve (12) weeks during any twelve (12) month period.

Sick leave may be used in conjunction with FMLA leave when a child under the age of three is adopted regardless of whether the child is actually sick at the time of adoption. Furthermore, an employee, who is the father of a child, may use his sick leave in conjunction with the child's birth only if the child is actually ill, or to care for his spouse while she is recovering from labor and delivery.

Employees with less than 12 months of state service and/or less than 1,250 hours of work in the 12 months immediately preceding the start of leave are entitled to a parental leave of absence, not to exceed 12 weeks (480 hours). The employee must first use all available and applicable paid vacation and sick leave while taking parental leave prior to going on leave without pay. Such parental leave may only be taken for the birth of a natural child or the adoption or foster care placement with the employee of a child under three years of age. The leave period begins with the date of birth or the adoption or foster care placement.

Notice of Leave

If the need for family *and* /medical leave is foreseeable, the employee must give thirty (30) days prior written notice. If this is not possible, the employee must give notice within one to two working days of learning of the need for leave or as soon as practicable. Failure to provide such notice may be grounds for delay of leave. Where the need for leave is not foreseeable, the employee is expected to notify the supervisor and Human Resources within 1 to 2 working days of learning of the need for leave, except in extraordinary circumstances. Requests for Family *and* /Medical Leave forms are available from Human Resources. Employees should use these forms when requesting leave.

Medical Certification

If an employee is requesting leave because of their own or a covered relation's serious health condition, the employee and the relevant health care provider must supply appropriate medical certification. Medical Certification Forms may be obtained from Human Resources. The form must be returned to the director of human resources or a designated leave administrator within fifteen (15) days after the date leave is requested. Failure to provide requested medical certification in a timely manner may result in denial of leave until the certification is provided. The university, at its expense, may require an examination by a second health care provider designated by the university. If the second health care provider's opinion conflicts with the original medical certification, the university, at its expense, may require a third, mutually agreeable, health care provider to conduct an examination and provide a final and binding opinion. The university may require subsequent medical re-certification on a reasonable basis.

Reporting While on Leave

If an employee takes FMLA *leave* because of a personal serious health condition or to care for a covered

relation, the employee must contact the supervisor at least once each week, or as often as requested by the supervisor, regarding the status of the condition and the intention to return to work. The supervisor is responsible for reporting this information to the leave administrator. Additionally, the employee is required to call Human Resources on the 1st and 3rd Monday of each month during their leave to report their leave and/or return to work status. Failure to communicate with the supervisor and Human Resources on the approved reporting schedule may result in denial of leave.

Leave Is Unpaid

Family *and* ~~/~~medical leave is unpaid leave after vacation, sick and all other applicable leaves have been exhausted. Employees may apply for sick leave from the Sick Leave Pool, which, if approved, will be included within the FMLA period. Employees may be eligible for short or long-term disability payments and/or workers' compensation benefits under the provisions of those plans. This leave time will also be included in the twelve (12) week period of FMLA. The use of applicable paid leave time does not extend the twelve (12) week leave period.

Medical and Other Benefits

During an approved family *and* ~~/~~medical leave, the university will maintain the state contribution for the employee's health benefits as if the employee continues to be actively employed. During periods of paid FMLA leave, the university will deduct the employee's portion of the insurance premiums as a regular payroll deduction. If the employee's FMLA leave is unpaid, the employee portion of the premium must be paid by the employee through the benefits ~~manager~~ *personnel* in Human Resources. The employee's insurance coverage will cease if the premium payment is more than thirty (30) days late. If the employee elects not to return to work at the end of the FMLA leave period, the employee will be required to reimburse the university for the cost of the premiums paid by the university for maintaining coverage during the leave, unless the employee cannot return to work because of a serious health condition or other circumstances beyond the employee's control. An employee on FMLA *leave* is not entitled to accrue state service credit for any full calendar months of leave without pay taken while on FMLA *leave* and does not accrue vacation or sick leave for such months of leave without pay.

Intermittent and Reduced Schedule Leave

Leave because of a serious health condition may be taken intermittently (in separate blocks of time due to a single health condition) or on a reduced leave schedule (reducing the usual number of hours worked per workweek or workday), if medically necessary. A reduced schedule is subject to availability depending on the business need of the department or the university. If leave is unpaid, the university will reduce the employee's salary based on the amount of time actually worked. In addition, while the employee is on an intermittent leave or reduced schedule, the university may temporarily transfer the employee to an alternative position which better accommodates recurring leave and which has

equivalent pay and benefits.

Returning From ~~-~~Leave

If the employee takes leave because of a personal serious health condition, the employee is required to provide ~~medical certification~~*a release to return to work* to their supervisor and the leave administrator that *states that* the employee is fit to resume work. *An example of a* ~~R~~*release to r*eturn to *w*~~W~~ork ~~Medical Certification Forms~~ may be obtained from Human Resources. Employees failing to provide ~~the Return to Work Medical Certification Form~~*an acceptable release to return to work* will not be permitted to resume work until it is provided.

Cross Reference: The Family and Medical Leave Act of 1993 (FMLA), 29 C.F.R. § 825; Tex. Gov't Code § 661.912; Workers Compensation Coverage (12.23)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Family *and ~~/~~*Medical Leave Request for Leave Form, Certification of *Health Care Provider for Employee's Serious Condition under the Family and Medical Leave Act, Certification of Health Care Provider for Family Member's Serious Health Condition under the Family and Medical Leave Act, Certification for Serious Injury or Illness of a Current Servicemember for Military Caregiver Leave under the Family and Medical Leave Act, Certification for Military Family Leave for Qualifying Exigency under the Family and Medical Leave Act*~~Physician or Practitioner Form,~~*, Family and Medical Leave Certification of Placement/Bonding Leave Due to Adoption or Foster Care.* ~~Family/Medical Leave Return to Work Medical Certification Form~~

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Fixed Amount Awards

Policy Number: 8.12

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

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

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

Purpose of Policy (what does it do): Grants related policy in regards to pricing that is agreed to in advance rather than actual costs incurred while conducting the work.

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

Fixed Amount Awards

Original Implementation: July 28, 2015
Last Revision: ~~January 29, 2019~~*April 11, 2022*

Fixed amount awards, also known as fixed-price agreements, are awards in which a price is agreed to in advance for a specific scope of work that is payable based on performance and deliverables rather than the actual costs incurred during the conduct of the work.

Fixed amount awards may include grants, cooperative agreements, contracts, research agreements, and subawards (grants) from federal and non-federal sources to the university, as well as fixed amount subawards from the university to a subrecipient.

Fixed Amount Awards to the University

A fixed amount award to the university should reflect an accurate estimate of anticipated direct costs for the efficient and effective conduct of the project plus the university's full federally negotiated facilities and administrative (F&A, indirect) cost rate. The Principal Investigator/Project Director (PI/PD) is responsible for ensuring that a fixed amount award is accurately estimated.

The Office of Research and Graduate Studies (ORGS) requires an internal operating budget for fixed amount awards and awarded funds must be used during the term of the agreement in support of the specific statement of work. The PI/PD is responsible for charging all appropriate operating expenses to the award, including salary and associated benefits at a level commensurate with the effort committed to the project.

In the event ~~that~~ there is a negative balance at the conclusion of a fixed amount award project, the managing administrative unit is responsible for covering the shortage from an appropriate source of funds.

In the event a residual balance remains after all allocable expenses have been recorded to the project fund, the following processes apply:

<u>Non-Federal Awards</u>

1. The PI/PD will certify that the sponsor has accepted all required deliverables, the ~~controller's office~~*Office of Financial Reporting* will confirm that the sponsor has made final payment. If the remaining balance exceeds $500, the full federally-negotiated F&A rate will be charged against the award. Any residual balance should be no more than 20% of the original award.

2. If the residual balance is less than 20% of the original award (up to $10,000 or 25% of the residual balance, whichever is less) then the amount is transferred to a fixed-price residual

(FPR) fund for the PI/PD, or into an FPR fund established for a university-recognized center. The remaining balance, in excess of 25% or $10,000, is transferred to a designated fund pool to be used in support of research and development.

If the residual balance exceeds 20% of the original award, the sponsor is contacted to determine the disposition of the balance. If the sponsor allows residual amounts to be retained by the university, the amounts are distributed as described above.

If the residual balance is $500 or less, the entire amount may be transferred to the individual PI/PD ~~Fixed-Price Residual~~*FPR* Fund.

3. Fixed-price residual funds must be used for on-going research activities or to support the goals and objectives of the PI, PD, or center, in accordance with state and university regulations, policies, and procedures.

Federal Awards

1. For fixed amount awards originating from federal sources, there should be ~~"~~no increment above actual cost~~" [2 C.F.R. § 200.201(b)(1)]~~.

2. The university must certify in writing to the federal agency or pass-through entity that the project was completed or the level of effort expended.

3. If ~~both of the above~~ requirement *#2*~~s~~ cannot be met, the amount of the award must be adjusted [2 C.F.R. § 200.201(b)(3)].

Fixed Amount Awards from the University

The amount of a fixed amount award to a subrecipient from the university should reflect an accurate estimate of anticipated costs for the efficient and effective conduct of the project. ORGS may require a budget detail and justification from a potential subrecipient.

Fixed amount subawards from federal sources are allowable with prior written approval from the federal awarding agency in an amount up to $150,000 [2 C.F.R. § 200.88, .332]. Such awards are subject to the terms and conditions detailed in 2 C.F.R. § 200.201(b).

Cross Reference: 2 C.F.R. §§ 200.45, .88, .201, .332; Grants and Contracts Procedures Manual

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

Contact for Revision: Dean of Research and Graduate Studies

Forms: Fixed Amount Award Close-out Certification Form; Fixed Amount Award Close-out Form

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Institutional Reserves Fund

Policy Number: 3.19

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 guidelines for the university's institutional reserves. Appropriate institutional reserves help maintain financial strength, provide the foundation for debt management and issuance, protect against volatility in revenue and expenditures, and allow flexibility in planning for the needs 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:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: New name and updates 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

Institutional Reserves ~~Fund~~

Original Implementation: July 13, 2006
Last Revision: April *11*~~30~~, 20*22*~~19~~

Purpose

This policy establishes guidelines for the university's institutional reserves ~~fund~~. ~~An~~ *A*~~a~~ppropriate institutional reserves ~~fund~~ help~~s~~ maintain financial strength, provide~~s~~ the foundation for debt management and issuance, protect~~s~~ against ~~external~~ volatility *in revenue and expenditures*, and allow~~s~~ flexibility in planning for the needs of the university.

Definitions

I~~The~~ institutional reserves ~~fund~~ refers to resources that are not allocated to any specific unit of the university, but are held centrally within the university's financial system. Additions to ~~the~~ institutional reserves ~~fund balance~~ include revenues that exceed expenditures. Deductions include the use of reserves to fund *items not included in the operating budget; planned uses of reserves for the operating budget; and* ~~capital budgets, construction projects, and~~ unanticipated institutional requirements. ~~–~~*Institutional reserves are represented in the Statement of Net Position as Unrestricted Net Position (UNP).*

General

The purpose of ~~an~~ institutional reserves ~~fund~~ is to provide contingent support for potential significant financial occurrences, including:

- strategic capital projects,
- unanticipated or uninsured catastrophic events,
- temporary institutional revenue shortfalls or expenditure gaps,
- unforeseen legal obligations and costs,
- failures in central infrastructure,
- failures of major business systems.

Institutional Reserves ~~Fund~~ Budgeting

The university may augment institutional reserves as a budget practice during periods of revenue growth and stability. During periods that revenue support is needed, the university may utilize institutional reserves.

Institutional Reserves ~~Fund Size~~*Target*

The *university utilizes the primary reserve ratio to* target *the* amount of reserves that ~~an institution~~*should be* ~~should~~ maintain*ed*. ~~is determined using a calculation called the primary reserve ratio.~~ The ratio is calculated *according to higher education industry standards* ~~by dividing expendable net assets by total expenses, net of depreciation and~~

~~amortization*Governmental Accounting Standards Board ()ment*. The higher education industry target~~ *and the target* benchmark ~~for the primary reserve ratio is .40. Consequently, an institution's target reserves fund goal should be~~*is* 40% of its annual operating budget, thus providing approximately five months of operational capacity.

At the end of each fiscal year, the primary reserve ratio calculation will be used to evaluate the institutional reserves~~ fund and target. The~~ *, and* information will be reported to the Board of Regents with the Annual Financial Report.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

TABLED

POLICY SUMMARY FORM

Policy Name: Lumberjack Education Assistance Program

Policy Number: 12.5

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

Date of last revision, if applicable: 4/18/2020

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

Purpose of Policy (what does it do): This policy permits active, regular (100% FTE) employees of the university, their spouses, and dependents to participate in the Lumberjack Education Assistance Program (LEAP) provided eligibility requirements are met.

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: Graduate assistants removed, definitions added and text updates for clarification.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Lumberjack Education Assistance Program

Original Implementation: January 28, 2003
Last Revision: April 1*1*~~8~~, 2022~~0~~

Purpose

This policy permits active, regular (100% FTE) employees of the university, their spouses, and dependents~~, as well as certain graduate assistants~~ to participate in the Lumberjack Education Assistance Program (LEAP) provided eligibility requirements are met.

Definitions

*An **eligible dependent is a child, stepchild, or qualified dependent meeting the definition of dependent under IRS regulations** ~~is an unmarried child or stepchild under age 25~~ of an active, regular (100% FTE) employee who has completed six months of continuous service for the university prior to the end of the enrolled semester. ~~Other related dependent children that were claimed as an exemption on the employee's most recent tax return are also be eligible.~~*

*An **eligible spouse** is an individual recognized by law as a spouse or common law spouse and meets insurance eligibility requirements set forth by the Employees Retirement System of Texas (ERS).*

*A~~n~~ **third~~outside~~ party or contract** is a sponsoring organization or agency who takes responsibility for paying a student's tuition and fee balance either in full or in part.*

***~~An o~~Outside scholarships** are provided by private donors, foundations, businesses, and other sources external to Stephen F. Austin State University.*

General

Detailed program and eligibility requirements can be found on the human resources website. The program is designed as an employee benefit initiative and is subject to available resources.

~~The~~ LEAP benefits appl~~ies~~y only to mandatory tuition and fee charges~~,~~ excluding statutory tuition. Statutory tuition, excessive hours tuition, 3-peat charges, and non-mandatory incidental fees are not covered by LEAP benefits.

LEAP benefits will not cover tuition and fees which are paid by a~~n~~ third~~outside~~ party or contract, or are covered by any other exemption or waiver.

LEAP benefits will not be reduced by PELL grant, FSEOG (federal supplemental educational opportunity grant) grant, outside scholarships or loans.

~~*Financial aid, other than outside scholarships, PELL, SEOG, and loans, will be applied before LEAP*~~.
Participation in the LEAP program requires maintaining a minimum cumulative GPA of 2.0 for undergraduate degree programs and a minimum cumulative GPA of 3.0 for graduate degree programs.

The university complies with federal and state tax regulations governing any applicable taxability, tax reporting, and/or withholding of taxes on LEAP benefits. The value of any tuition and fee benefits paid by LEAP above the annual IRS eligible amount will be treated as a taxable benefit to the employee.

Employees

Active, regular (100% FTE) employees become eligible for LEAP benefits when they have completed six months of continuous service for the university. The six-month period must be completed by the ~~*census dat*~~*last day*~~*e*~~ *of the enrolled* ~~*semester*~~*term. If an employee retires from the university, or terminates for any other reason, LEAP eligibility will end on the last day of the enrolled term.*
~~*or from courses or if an employeethe*~~

LEAP benefits will apply to eligible tuition and fee charges for up ~~*Eligible employees may take up*~~ *to two courses (maximum 8 credit hours) per semester with supervisor approval. If departmental workload permits, an employee may attend one class during working hours by utilizing an alternative work schedule or by using accrued compensable leave. To be eligible for an alternative work schedule, an employee must request approval from the appropriate supervisor and director/dean for the time off to attend the class. Exceptions to the maximum semester load may be considered, but approval must be obtained from the employee's supervisor, director/dean, and appropriate member of the president's cabinet.*

~~*If an employee retires from the university, or terminates for any other reason, LEAP eligibility will end on the last day of the enrolled term.*~~

~~*Participation in the LEAP program also requires maintaining a minimum cumulative GPA of 2.0 for undergraduate degree programs and a minimum cumulative GPA of 3.0 for graduate degree programs.*~~

~~*The university complies with federal and state tax regulations governing any applicable taxability, tax reporting, and/ or withholding of taxes on LEAP benefits. The value of any tuition and fee benefits paid by LEAP above the annual IRS eligible amount will be treated as a taxable benefit to the employee.*~~

~~Full-time employees and graduate assistants who meet specific eligibility requirements are~~ *may be* ~~permitted to take~~ *one*~~a course during working hours. However, participation in the program~~ *class attendance* ~~does not supersede regular work responsibilities. If departmental workloads permits,~~

~~employees may *attend*take one course per semester of either three or four semester credit hours during *one class during* working hours *or by using accrued compensable leave*. */dean*An employee's supervisor must approve the time off for the class, and also approve make-up work arrangements for time missed. If work cannot be made up, an employee must turn in vacation or comp time for work time missed. Exceptions to the policy *may*will be considered, but approval must be obtained from the employee's supervisor*/dean* and appropriate vice president*member of the president's cabinet*.~~

Spouse/Dependents

Eligible employees may apply for LEAP benefits on behalf of their spouse/dependents ~~using the online application~~ when the employee ~~y~~becomes eligible as set forth by this policy. The LEAP ~~have completed six months of continuous service for the university. The spouse/dependent must accept the LEAP benefit online. LEAP~~ benefits may be applied to undergraduate or graduate courses that are part of the overall degree plan of the spouse/dependent so long as he/she meets the definition of spouse/dependent as set forth by this policy. Documentation may be required to determine spouse/dependent eligibility. ~~Statutory tuition, excessive hours tuition, 3-peat charges, and non-mandatory incidental fees are not covered by LEAP.~~

~~*If a spouse/dependent drops or withdraws from courses, or if the spouse/dependent no longer meets the definition of spouse/dependent, or if the eligible employee that applied for LEAP on behalf of the spouse/dependent terminates or retires prior to the census date of the enrolled term, the LEAP award will be adjusted or reversed as appropriate, and the spouse/dependent will be responsible for payment of tuition and fee charges according to the dates and deadlines schedule.*~~

If the eligible employee that applied for LEAP on behalf of the spouse/dependent retires from the university or terminates for any other reason, LEAP eligibility for the spouse/dependent will end on the last day of the enrolled term.~~,~~

~~*Participation in the LEAP program also requires maintaining a minimum cumulative GPA of 2.0 for undergraduate degree programs and a minimum cumulative GPA of 3.0 for graduate degree programs.*~~

~~*The university complies with federal and state tax regulations governing any applicable taxability, tax reporting, and/ or withholding of taxes on LEAP benefits. The value of any tuition and fee benefits paid by LEAP above the annual IRS eligible amount will be treated as a taxable benefit to the employee.*~~

~~The university complies with federal and state tax regulations governing any applicable taxability, tax reporting, and/or withholding of taxes on the Lumberjack Education Assistance Program. The value of any taxable tuition and fee benefits paid by the LEAP will be included as taxable income on the employee's annual Wage and Tax Statement (W-2) and will be subject to tax withholdings.~~

Cross Reference: ~~None~~*LEAP Requirements Document on the Human Resources Website*

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: *LEAP Application on mySFA*~~Employee Educational Assistance packet: http://www.sfasu.edu/hr/115.asp.~~

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Payment Card Acceptance and Security

Policy Number: 14.8

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 defines the requirements and responsibilities for maintaining compliance with the Payment Card Industry's Data Security Standard (PCI-DSS) at SFA. Achieving and maintaining Payment Card Industry (PCI) compliance mitigates the potential of data breaches and allows our departments and affiliated organizations (merchants) to take payment cards with a level of risk acceptable to the university. This policy is supplemental to any other information security policies currently in effect at the university.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: 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
Michaelyn Greene, Director of Treasury and Student Business Services
Damon Derrick, General Counsel

Payment Card Acceptance and Security

Original Implementation: July 21, 2009
Last Revision: April *11*~~20~~, 2022~~1~~

Purpose

This policy defines the requirements and responsibilities for maintaining compliance with the Payment Card Industry's Data Security Standard (PCI-DSS) at Stephen F. Austin State University (the university). Achieving and maintaining Payment Card Industry (PCI) compliance mitigates the potential of data breaches and allows our departments and affiliated organizations (merchants) to take payment cards with a level of risk acceptable to the university. This policy is supplemental to any other information security policies currently in effect at the university.

General

Stephen F. Austin State University takes steps to ensure full compliance with the PCI-DSS. All payment card handling activities and related technologies must comply with the PCI-DSS. Payment card handling activities must be conducted as described herein and in accordance with the guidelines in the Payment Card Security Handbook, maintained on the university's PCI website.

This policy will be reviewed at least annually and updated as needed to reflect changes to business objectives or the risk environment.

Applicability

~~This policy applies to all personnel who store, process, transmit, have access to, or can affect the security of payment card data, including faculty, staff, contractors, and students who are employed or utilized by the university.~~ *This policy applies to all faculty, staff, students, contractors, volunteers, and third-parties who store, process, transmit, have access to, or can affect the security of payment card data in physical or electronic format on behalf of or in association with the university~~SFASU~~. This includes any entity that utilizes any part of the university~~SFSU~~ network infrastructure for payment card transaction services.* This policy also applies to any employee who contracts with a third-party vendor to handle and/or process payment card data on behalf of the university. All vendors, contractors, and business partners who store, process, transmit, have access to, or can affect the security of payment card data on behalf of the university will state in their contract that they are and will remain compliant with the PCI-DSS at all times.

All computers, electronic devices, or other resources at the university used in payment card processing are governed by this policy and subject to PCI-DSS requirements. This includes but is not limited to workstations which are used to enter payment card information into a central system, cash registers, point-of-sale terminals connected to a phone line or the university network, printers, scanners, and any other devices through which the payment card data is transmitted or on which payment card data is stored. Also covered are website storefronts that redirect customers to another website to enter payment information. In addition, all paper forms or receipts containing cardholder data are also covered under this policy.

Responsibilities

The vice president for finance and administration is responsible for oversight of the PCI compliance program. The vice president for finance and administration will designate specific individuals who will have responsibility for the development, implementation, and administration of the program. These individuals will serve on the PCI Steering Committee and will assist the university in achieving and maintaining compliance with the PCI-DSS and in reducing the scope of items that will need to be compliant with the PCI-DSS.

The vice president for finance and administration will also designate program representative(s) who will review and approve all requests to accept payment cards, perform all necessary actions to ensure PCI compliance, and respond to any suspected payment card information threat.

University merchants will establish and maintain documented procedures for complying with this policy and the PCI-DSS and will follow guidelines established in the Payment Card Security Handbook.

Requirements

PCI-DSS compliance is mandatory for any department or affiliated organization that accepts, captures, stores, transmits, and/or processes payment card information. Only authorized and properly trained employees, vendors, or temporary employees may accept and/or access payment card information. Each person who has access to payment card information is responsible for protecting the information in accordance with the PCI-DSS and university policy.

Only PCI-DSS compliant equipment, systems, and methods may be used to process, transmit, and/or store payment card information. All equipment and systems used to process, transmit, and/or store payment card data must be approved by the designated program representative(s). Payment cards cannot be processed, transmitted, and/or stored using the university's network unless all technical controls required by the PCI-DSS and other applicable university policies are approved by the designated program representative(s).

University departments and affiliated organizations must obtain advance approval from the program representative(s) designated by the vice president for finance and administration before accepting payment cards for payment of goods or services, or before entering into any contracts or purchases of software and/or equipment related to payment card processing. Once approved, copies of contracts must be forwarded to the designated program representative(s). University departments and affiliated organizations are required to use the university's preferred service provider. Exceptions may be granted only after a request from the payment card processor has been reviewed and approved by the PCI Steering Committee. When an exception has been granted, the merchant remains responsible for ensuring the service provider is PCI compliant and providing ongoing certification of compliance to the designated program representative(s).

Cardholder data must not be transmitted or accepted in an insecure manner. Insecure methods of transmitting or accepting cardholder data include but are not limited to unencrypted wireless, email,

fax, and campus mail. Printed receipts or other physical materials containing cardholder information must be stored in a secure environment until they are processed. Payment card information must be destroyed in a secure manner as soon as it is no longer needed.

Credit card information must not be stored on any electronic device including university network servers, workstations, laptops, tablets, and cell phones-unless it is explicitly approved for use as part of the cardholder data environment.

Training

All personnel in positions that store, process, transmit, have access to, or affect the security of payment card data will complete PCI-DSS training upon hire and at least annually. These personnel will also acknowledge, in writing or electronically, that they have read, understand and will comply with these policies and procedures.

Incident Response

All security incidents, including suspected exposure or theft of payment card information, must be reported in accordance with university policy 1
4.14, Information Security Incident Response and Reporting. All PCI users should be familiar with this policy and are responsible for reporting any incident of theft, fraud, or misuse of payment card data.

Enforcement

Periodic reviews may be performed to validate compliance with this policy. If the requirements of this policy are not followed, suspension of payment card options may result. Substantial fines may also be imposed by payment card companies if a security breach and subsequent compromise of payment card data occurs.

Employees in violation of the PCI-DSS and this policy may be subject to a range of sanctions including loss of computer network access, disciplinary action or legal sanctions.

Cross Reference: PCI Security Standards; Payment Card Security Handbook; Receipts and Deposits (3.26); Information Security Management (14.1); Information Security Incident Response and Reporting (14.14); ITS Policy Handbook

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revisions: Vice President for Finance and Administration

Forms: Application for Exception from Use of University Preferred Electronic Payment Service, Statement of Intent to Comply with the University Policy for Payment Card Acceptance and

Security, Payment Card Processor Registration Form, Confidentiality Statement

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Receipts and Deposits

Policy Number: 3.26

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

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

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

Purpose of Policy (what does it do): This policy provides guidance for the internal control of receipt handling to all Stephen F. Austin State University (the university) departments who handle receipts and deposits. The university has delegated the authority and responsibility for maintaining procedures for all receipt-handling activities to the office of student business services. Note: The term "receipts," as referenced in this policy, is deemed to include currency, coins, personal checks, bank drafts, money orders, traveler's checks, cashier's checks, credit card transactions, debit card transactions, wire transfers, and any other method of receiving funds.

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: Organizational updates and removal of procedures from this policy.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Receipts and Deposits

Original Implementation: Unpublished
Last Revision: ~~January 29, 2019~~ *April 11, 2022*

Purpose

This policy provides guidance *for the internal control of receipt handling* to all Stephen F. Austin State University~~ (*the university*SFA)~~ departments *who* handl*e*~~ing~~ receipts and deposits. ~~The policy also encourages effective administration and internal control of receipt-handling operations throughout the university.~~ *The university has delegated the authority and responsibility for maintaining procedures for all receipt-handling activities to the office of student business services.* ~~Note: The term "receipts," as referenced in this policy, is deemed to include currency, coins, personal checks, bank drafts, money orders, traveler's checks, cashier's checks, credit card transactions, debit card transactions, wire transfers, and any other method of receiving funds.~~

Definitions

~~The c~~***C*ustodian** is anyone who handles cash and receipts.

Receipts *as referenced in this policy, is deemed to include currency, coins, personal checks, bank drafts, money orders, traveler's checks, cashier's checks, credit card transactions, debit card transactions, wire transfers, and any other method of receiving funds.*

~~A r~~***R*efund** is the return of funds for a transaction that occurred on a prior business day.

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

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

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

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

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

Starter check is a non-personalized encoded check that a person receives from a bank when they establish a checking account. These are for the person's use prior to receiving *personalized*~~encoded~~

checks~~ from the bank~~. ~~Starter checks should only be accepted if the bank has encoded the routing number and account number on the bottom of the check.~~

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

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

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

General

The *vice president of finance and administration*~~university~~ has delegated the authority and responsibility for establishing procedures for all receipt-handling activities to the *director of treasury and student business services*~~controller's office~~. ~~-~~In carrying out th*e responsibility for maintaining procedures for all receipt-handling activities* ~~is duty~~, the ~~controller's~~ office *of student business services* is responsible *to*~~for~~:

1. Establish~~ing~~ and enforce~~ing~~ procedures governing the receipt, handling, custody, and disbursement of funds.
2. Require~~ing~~ the~~ establishment and~~ maintenance of records *that* account~~ing~~ for funds received and paid by the university.
3. ~~Opening and closing bank accounts and transferring funds among such accounts as necessary and prudent, considering current interest rates and collateral levels.~~
~~4.~~*3.*Establish~~ing~~ and authorize~~ing~~ procedures for granting, maintaining, and terminating the ~~departmental~~ collection of university funds *by a department*~~,~~*, office, or affiliated organization that handles university receipts.*

This policy is applicable to every university department, administrative office, and affiliated organization that handles receipts for any university-related function. ~~Employees that handle receipts on behalf of the university are required to be familiar with the provisions of this policy. Additionally,~~ *T*~~t~~he~~ controller's office~~ *student business services office* or audit services may perform periodic audits of any department *or affiliated organization* with *university* receipt-handling operations.

Any individual handling university receipts ~~is responsible~~ *must remain familiar with the provisions of this policy,* ~~to the university for~~ *and ensure* proper security and accountability. Due to the personal liability involved in performing receipt-handling functions, it is important that only authorized employees accept funds for university business. In rare instances, non-employees (i.e. students or volunteers) may be authorized to accept funds for the university if written approval is obtained from the *director of treasury and student business services or their designee*~~bursar~~. In these cases, an employee is responsible for ensuring that these persons are properly trained and receipts are handled appropriately. All persons accepting funds for the university are required to appropriately safeguard,

account for, and document all receipts received on behalf of the university. Applicable university discipline and/or discharge policies will be followed in the imposition of sanctions related to a violation of this policy.

Segregation of Duties

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

Written Departmental Procedures

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

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

Safekeeping

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

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

~~in a secure place, either a safe or locked container.~~

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

Prohibition Against Transactions Involving Family Members

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

Custodian Responsibilities

Custodians should be familiar with this policy and with Receipting Guidelines and Procedures found on the Student Business Services website.

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

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

Maintaining current and accurate records of the funds: The records should provide clear documentation of receipts from the time of collection to the time of deposit. This documentation should always be readily available for audit by the *student business services*~~controller's~~ office, internal or external auditors, or the department head. Specific information on appropriate documentation can be found ~~under~~ *in* Receipt*ing* ~~*Revenues*~~ *Guidelines and* ~~s Procedures, b~~*Procedures*~~elow.~~ ~~*on the SFA Student Business Services website (add link).*~~

Overages and Shortages: Both overages and shortages should be noted and tracked by the custodian and then reviewed and certified by a supervisor or department head. Significant amounts should be immediately reported to the department head and the *student business services*~~controller's~~ office. If

there appears to be a growing pattern or anything unusual or abnormal about the overages and shortages, that information must be disclosed immediately.

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

Training Requirements: Mandatory receipts training is required of all employees whose job duties include the acceptance, record keeping, and deposit of university receipts. ~~Additionally~~*Additionally*, ~~,~~ *in accordance with policy 14.8, Payment Card Acceptance and Security,* separate training is required for employees who handle payment cards. Receipts and payment card training is required on an annual basis and should be coordinated through the *student* business *services* office.

~~**Receipting Revenues**~~

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

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

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

~~**Canceled/Voided Transactions**~~

~~The same-day cancellation of a transaction must be approved by a supervisor. Upon approval, the~~

~~original receipt should be voided and the payment returned to the customer. The customer should sign the voided receipt acknowledging the transaction.~~

~~Manual Cash Receipt Books~~

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

1. ~~Department name~~
2. ~~Numbers of each book distributed~~
3. ~~Signature by the person receiving the book(s)~~
4. ~~Description of what the receipts book(s) will be used for~~

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

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

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

~~Reconciling Cash and Receipts~~

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

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

~~Payment Acceptance~~

~~Acceptable forms of payment with proper identification:~~

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

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

- ~~Counter Check~~
- ~~Third-Party Check~~
- ~~Foreign Check~~

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

~~Item~~	~~Verification~~
~~**Account holder's name, address, phone**~~	~~Verify the information is included on the check. A daytime phone number is preferred.~~
~~**Bank coding and holder's account**~~	~~Observe that the check has the customer's bank account and routing number encoded on the bottom along with the bank and check number.~~
~~**Payee**~~	~~Must be payable to Stephen F. Austin State University, SFA, or SFASU.~~
~~**Date**~~	~~Verify check is not stale dated or postdated.~~
~~**Amount**~~	~~Verify that numerical amount is same as written amount.~~
~~**Signature**~~	~~Observe that check is signed.~~

~~Credit Cards~~

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

- ~~Visa~~
- ~~American Express~~
- ~~MasterCard~~
- ~~Discover~~

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

- ~~Credit cards shall be accepted for no more than the amount of purchase.~~

- ~~The expiration date and security code are required.~~
- ~~If information is received by phone, a contact phone number must be included.~~
- ~~All credit card information should be considered confidential and must be protected (see Payment Card Acceptance and Security (14.8)).~~

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

~~Signage~~

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

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

~~Endorsement Stamps~~

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

~~Deposits of Cash and Checks~~

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

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

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

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

~~**Preparing and Making the Deposit**~~

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

~~**Sales Tax**~~

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

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

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: ***None***~~Deposit Summary Form~~

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student and Non-Student Accounts Receivable

Policy Number: 3.28

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

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

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

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

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: Organizational updates and formatting and wording changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Student *and Non-Student* Accounts Receivable

Original Implementation: July 15, 2008
Last Revision: ~~January 29, 2019~~ *April 11, 2022*

Purpose

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

General

Procedures will be maintained by the ~~controller's~~ office *of student business services*, for at least the following:

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

Criteria for Recognizing an Account Receivable

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

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

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

Recording an Account Receivable in the Financial Records

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

In the event that a student withdraws during the semester, the- *student charges will be adjusted in accordance with state law.*~~accounts receivable outstanding balance is reduced by the appropriate percentage refund rate relevant at the time of withdrawal~~.

Reconciling Accounts Receivable

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

Aging Accounts Receivable

The ~~controller's~~ office *of student business services* -also maintains an aging schedule for all student accounts receivable with the total of the aging schedule balanced to the total recorded accounts receivable. At year end, the aging schedule may be analyzed to aid in the process of the calculation of the allowance for doubtful accounts.

Collecting Accounts Receivable

~~The size of the account receivable may influence the collection efforts. The expenditure of time, effort, and money to collect large accounts receivable is appropriate; however, the same efforts expended on very small accounts receivable may not be economical.~~ Guidelines- *and procedures for collection of delinquent accounts will be maintained by the office of student business services*~~as to~~

~~the level of attention and the efforts expended on accounts receivable will be set by the university based on recommendations from collection agencies and management~~.

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

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

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

Billing and Collection Activity on Delinquent Accounts or Accounts in Default

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

Inactive Students: Delinquent accounts will be analyzed and processed on a regular basis. Any general deposits will be applied to inactive students' outstanding balances to defray the amounts due to the university. ~~After this analysis~~*As appropriate*, delinquent accounts on inactive students will be subject to collection activity. Attempts will be made to contact students before delinquent accounts are turned over to collections. Students will not be assessed ~~any~~ collection agency fees or collection costs if they make a payment or ~~request to~~ set up a repayment agreement ~~during the communication and contact period(s)~~ *prior to the account being turned over to a collection agency*. *Collection agency* ~~After communication and contact periods expire, accounts will be placed with a collection agency or an attorney. The collection agency may give the student an additional period prior to assessing fees. The f~~*f*ees assessed to the student will be negotiated in advance *by the university* ~~with the collection agencies~~ and ~~are subject to a~~*a*pprov*ed by* ~~al from the T~~ *the T*exas Attorney General's office. Additionally, accounts may also be reported to the Texas Comptroller of Public Accounts as authorized by Texas Government Code § 403.055 to ensure that no treasury warrants are issued or payments are paid to the debtor until the debt is paid.

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

~~If a debtor has received a warning letter and begins making regular payments but then stops making~~

~~regular payments before the account is paid in full, the debtor may be sent to an outside collection agency or attorney without further notice to the debtor.~~

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

Write-Off of an Uncollectible Account

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

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

~~**Forgiveness of Debt versus Write-Off of Uncollected Accounts**~~

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

Allowance for Doubtful Accounts

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

Cross Reference: Texas Comptroller of Public Accounts Fiscal Policies & Procedures, Accounting for Uncollectible Accounts (APS 027); Tex. Gov't Code § 403.055; Ch. 2107*; Tex. Educ. Code § 54.006*

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Travel

Policy Number: 3.29

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

Date of last revision, if applicable: 10/26/2020

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

Purpose of Policy (what does it do): This policy establishes regulations related to allowable expenditures for university business travel and identifies the SFA Travel Guidelines and the Textravel website maintained by the Texas Comptroller of Public Accounts as the authoritative resources for travel laws and rules.

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: Added definition, remove procedural references, update position titles, and minor word changes.

Specific rationale for deletion of policy: NA

Additional Comments:

Reviewers:

Jennifer McCall, Director of Procurement and Business Services/HUB Coordinator
Judi Kruwell, Interim Vice President for Finance and Administration
Damon Derrick, General Counsel

Travel

Original Implementation: October 31, 2000
Last Revision: ~~October 26, 2020~~*April 11, 2022*

Purpose

This policy establishes regulations related to allowable expenditures for university business travel and identifies the Stephen F. Austin State University (SFA) Travel Guidelines and the Textravel website maintained by the Texas Comptroller of Public Accounts *(TCPA)* as the authoritative resources for travel laws and rules.

Definitions

University business travel is travel undertaken for the benefit of the university.

Account Manager *is defined as a department head (including department chairs, divisions heads, and all deans or designees) and/or financial manager.*

General

The university shall make every effort to minimize the amount of travel expenses paid and/or reimbursed. *Account managers and travelers must*~~are , and to~~ ensure that each travel arrangement is the most cost-effective considering all relevant circumstances. Travel expenditures must be reasonable, necessary, appropriately documented, and properly approved.

The *SFA Travel Guidelines* ~~are located on the university's travel website. These guidelines~~ apply to employees, students, and prospective employees traveling in a university capacity, except the president, members of the Board of Regents, and intercollegiate athletics. Travel by the president and Board of Regents will be made in accordance with applicable law. Travel related to intercollegiate athletics will be made in accordance with the *SFA Athletics Policy Manual*. ~~Intercollegiate Athletics Policy and Procedure Manual.~~

~~The reimbursement limits stated in the SFA Travel Guidelines may be exceeded only if funds are available in, and the additional costs are charged to, a discretionary account controlled by the budget manager authorizing the additional expenditure. For this policy, discretionary funds shall be defined by the controller's office. A list of funds that can be used for discretionary purposes will be published on the controller's office website.~~

Employees traveling under contracts and grants (federal, state, local, or private) shall be reimbursed for travel expenses and allowances on the same basis as other university employees, except in those instances where the terms of the contract or grant specify travel guidelines and reimbursement rates which differ from university reimbursement rates.

The T~~Generally, t~~*CPA*~~he Texas Comptroller of Public Accounts~~ ~~*created Textravel to*~~ *provides information on state travel laws and rules and* ~~(TCPA)~~ is the authoritative source regarding travel.

TCPA travel rules, *Textravel*, are located on the university's *travel website*. ~~In case of conflict between SFA Travel Guidelines and Textravel, SFA Travel Guidelines take precedence except where state of Texas law prevails.~~ The university president, at his/her discretion, may establish lower travel reimbursement rates than those in Textravel. Travelers will be notified in advance of the effective date of any rate change.

Travelers are responsible for ensuring their travel complies with applicable state law and SFA Travel Guidelines. Failure to comply may result in reimbursement delays and/or rejection of the traveler's claim for travel reimbursement. Fraudulent travel claims will be grounds for disciplinary action, including termination.

Cross Reference: Tex. Gov't Code § 660.203; Tex. Educ. Code § 101.19; SFA Travel Guidelines; *SFA* ~~Intercollegiate~~ Athletics Policy ~~and Procedure~~ Manual; Textravel ~~(Texas Comptroller of Public Accounts travel rules)~~; Fraud (2.7)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: *Director of Procurement & Business Services / HUB Coordinator* ~~Controller~~

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 team transition
Updates on Key Searches
President's Executive Advisory Council
Business/Industry Connections
Legislative Update and Visits
Distinguished High School Partnerships
Summer Road Tour
Presidential Innovation Fund Grants
Undergraduate Research Initiative

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
April 12, 2022

1. **Faculty Accomplishments**
2. **Senate Work Spring 2022**
3. **Closing Remarks**
4. **Opportunity for Questions**

Faculty Accomplishments, January 1, 2022 to March 15, 2022

Abel, Carolyn. Inviting religion into the Classroom, National Association of Multicultural Education.

Abel, Charles F. Inviting religion into the Classroom, National Association of Multicultural Education.

Adams, James F. SEEQ- Interactive Music System.

Adams, James T. Atmosphere-Ocean Optics and Rabies!, Department of Physics, Engineering, and Astronomy Faculty Seminar.

Ainsworth, Kyle. Runaway Slaves in Texas, Blinn Community College Diversity and Equity Program.

Allen, Charlotte. E-Commerce Brings Food Delivery to the Digital Age- Case Study, Southwest Decision Sciences.

Allen, Charlotte. Meal Delivery Services – A Flash in the Pan or A Cooking Tradition in the Making?

Andrew, Peter. Art in Embassies- Kuala Lumpur.

Antwi-Bosanko, Kwame B. The Texas Governor: Politically Strong, Constitutionally Weak.

Avant, Freddie L. Down-Home Social Work: A Strengths-Based Model for Rural Practice.

Avant, Freddie L. Social Work Processes.

Avant, Freddie L. Undergraduate Social Work Research: Models and Strategies.

Bacarisse, Angela. The Taming of the Shrew.

Bacarisse, Angela. Our Town.

Bae, Mi Hae. Older Adults' Physical Activities and Subjective Well-Being.

Ballinger, Thomas P. Jackpot: Random Numbers and Risk Analysis.

Beverly, Lesa L. "Got Math?" for Secondary Students.

Beverly, Lesa L. Math 129 Concepts and Applications Notes.

Bloxson, Julie M. Thermodynamic and Kinetic Promoters/Inhibitors for Nucleation of Gas Clathrates: Halogenation in the Presence of Salts Combined with Carbon Dioxide Injection, Texas Academy of Science Annual Meeting.

Bloxson, Julie M. A method to estimate calcite content in core and well logs in the Ordovician Utica shale and Point Pleasant Formation.

Bloxson, Julie M. Critical Mineral and REE potential of the Permian Salado Salt, Pecos County, TX.

Bloxson, Julie M. Thermodynamic and Kinetic Promoters/Inhibitors for Nucleation of Gas Clathrates: Halogenation in the Presence of Salts Combined with Carbon Dioxide Injection.

Bloxson, Julie M. Cross-modal Perception of Identity by Sound and Taste in Bottlenose Dolphins.

Brewer, Lauren E. Exploring Changes in Rural parents' School Choices Due to COVID-19: Lessons for Educator Preparation, Association of Teacher Educators Annual Conference.

Bruck, Jason N. Cross-modal Perception of Identity by Sound and Taste in Bottlenose Dolphins.

Busby, Antoine D. Understanding the Emotional Labor Process: Do Individual Differences Make a Difference?

Busby, Antoine D. How and When Supervisors' Challenge Appraisals Impact Employee Bottom-Line Mentality? The Roles of Supervisor Duty Orientation and Employee Positive Affectivity.

Busby, Antoine D. Aspiring Doctor Turned Police Officer Becomes First Gen MBA/PhD Recipient.

Carbajal, Jose I. Differences in Attachment, Resilience, and Negative Affect in Non-Treatment-Seeking and Treatment-Seeking EMS Professionals.

Carbajal, Jose I. The Impact of COVID-19 on Veterans' Resilience, Attachment, and Negative Affect.

Carbajal, Jose I. Resilience Measured as an Outcome Variable in a Sample of Emergency Medical Service (EMS) Professionals.

Carbajal, Jose I. Does attachment mediate PTSD and Suicidality in a Sample of GWOT Combat Veterans?

Carney, Courtney P. "The Contested Image of Nathan Bedford Forrest."

Carraway, Candis L. A Model of Teacher Candidate Support for edTPA, Association of Teacher Educators' 2022 Annual Meeting.

Chakravartty, Aryendra. Cultural Geography of Mithila: From Orthodox Elites to Secular Provincials.

Chakravartty, Aryendra. Technologies of Knowledge: Rethinking the Archive in Modern South Asia.

Childs, Kimberly M. "Got Math?" for Secondary Students.

Childs, Kimberly M. Math 129 Concepts and Applications Notes.

Childs, Kimberly M. From the Sandbox to the Ivory Tower.

Childs, Kimberly M. Unpacking Science and Mathematics Integration: The Effects on Advanced High School STEM Students.

Church, Brian J. STEM Majors Living Arrangements Impact on Academic Performance and Overall College Experience.

Clark, Robert A. Emergence.

Collins, Eden A. Yes, and: Reimagining the Sculpture Classroom, College Art Association of America 2022 Annual Conference.

Cox, Neal. 13th Biennial International Miniature Print Exhibition 2021.

Cox, Neal. 9th International Juried Print Exhibition.

Cox, Neal. International Juried Print Biennial.

Cross, Chrissy J. Exploring Changes in Rural parents' School Choices Due to COVID-19: Lessons for Educator Preparation, Association of Teacher Educators Annual Conference.

Cuadra, Carlos. Prosopografía y Etopeya en el Personaje de Bruna Husky de Rosa Montero.

Darst, Shannon D. New Workload Analysis Tool for Itinerant Vision Professionals: Meet the VISSPA!, Council for Exceptional Children 2022 Virtual Conference.

Darst, Shannon D. Assistive Technology for Visual Impairments: Training for a Lifetime of Teaching, Council for Exceptional Children 2022 Virtual Conference.

Darst, Shannon D. Grow Your Own: How to Address the Shortage of Teachers of Students with Visual Impairment, Education Service Center-Region 10 Visual Impairment Meeting.

Darst, Shannon D. Music Class for Students with Deaf Blindness?

Darville, Ray. Herbal Antimicrobial Therapy Is Effective for SIBO and Potentiated by Co-administration of Anti-biofilm Agents.

Darville, Ray. Visitor Demographics for the "Oldest Town" in Texas.

Darville, Ray. Old Faithful Visitors Center Exhibit Observation Study.

Darville, Ray. Gulf State Parks Phase II: Short Term Campers.

Darville, Ray. Role of Historic Visitor Service Structures in the Interpretation of Natural and Scenic National Parks: Grand Canyon, Yellowstone, Yosemite.

Davis, Rebecca J. Coal-Fired Power Plant Retirements in the U.S.

Dentice, Dianne E. Transgender Military Experiences: From Obama to Trump.

Derrick, Jamie N. Do Targeted Assignment Reminders Have an Effect on Timely Assignment Completion Rates?

Derrick, Jamie N. Online Course Performance: Does Pre-Screening Affect Outcomes?

Diaz, Marisol. Academia de Pensadores Criticos: A School-university Partnership for Emergent Bilingual EC-6 Learning, Academy for Educational Studies Critical Questions in Education Conference.

Ellis-Hervey, Nina M. Educational Equity and the Critical Shortage: Let's Get Digital, National Association of School Psychologists (NASP) Annual Conference.

Ellis-Hervey, Nina M. Training Outside the Box: Diversifying Training Experiences Through Adversity, National Association of School Psychologists (NASP) Annual Conference.

Ewing, James S. Positioning Multilingual Learners for Success in Mathematics.

Flowers, Jaime. Educational Equity and the Critical Shortage: Let's Get Digital, National Association of School Psychologists (NASP) Annual Conference.

Flowers, Jaime. A Distance Education Policy for School Psychology Programs, National Association of School Psychologists (NASP) Annual Conference.

Fontenot, Elizabeth P. Conroe Art League International.

Friedfeld, Robert B. Interference in Amyloid-Beta Peptide Aggregation by Polyphenols, Texas Academy of Science 125th Annual Meeting.

Fry, Darrell R. An Illustration of the Fourier Transform Using Microsoft Excel.

Giudici, Emiliano. The Impact of Business Sentiment on Capital Structure: Evidence from Brazil.

Greer, Lawrence D. A Night of Duke Ellington.

Gottshall, Dorothy L. Assistant Author.

Guidry, Marc S. The Knight's Tale.

Hachem, Ali. Complexity Theory and the "Knowledge Age": A Pragmatist Critique.

Hachem, Ali. Cultural Action: A Pragmatist Reconstruction.

Hachem, Ali. Dewey, Democracy, Power, Nature, and Drama.

Hachem, Ali. From text to Culture: A Pragmatist Textual Critique of Selected Popular Educational Administration Textbooks.

Hachem, Ali. Identity Narratives of Diversity: Pragmatist Reconstructions in (In)coherence.

Hachem, Ali. Narratives of Successful Educators Who Were Raised in Poverty: On Children, Poverty, and Education.

Hachem, Ali. Philosophy of Educational Administration: An Intellectual History.

Hall, Karyn. Book Review Test 123.

Harden, Gina. E-Commerce Brings Food Delivery to the Digital Age- Case Study, Southwest Decision Sciences.

Harden, Gina. Online Course Performance: Does Pre-Screening Affect Outcomes?

Harkness, Lori M. ECH Lab Lines.

Hasbun, Tracey C. Bilingual education reaches an East Texas Teacher Preparation Program: Bilingual Teacher Candidates' Perceptions on Their Educator Preparation, Academy for Educational Studies Critical Questions in Education Conference.

Hasbun, Tracey C. Caregiver Guidance in the Language and Literacy Skills of Toddlers: An Examination from Two Classrooms at One University's Nationally Accredited Early Learning Center, Academy for Educational Studies Critical Questions in Education Conference.

Henning, Sara D. Terra Incognita.

Herzog, Richard J. The Texas Governor: Politically Strong, Constitutionally Weak.

Hicks, Candace. Notes for String Theory.

Hicks, Candace. Red Dot Show.

Hicks, Candice. Uncommon Threads.

Hubbard, Keith. STEM Majors Living Arrangements Impact on Academic Performance and Overall College Experience.

Hung, I-Kuai. Measuring Loblolly Pine Crowns with Drone Imagery Through Deep Learning.

Hung, I-Kuai. Plus Code: An Alphanumeric Code Geocoding Option for Professional Foresters.

Iglesias, Edward G. Optimizing Library Services- The OPAC.

Jackson, Marice K. Roundtable Discussion: Engaging Students with Assignments in Online Classes, Association for Business Communications Southwest US.

Jacobi, Lora. Contributed to changes for new edition and to follow APA textbook recommendation.

Jeffery, Tonya. Academia de Pensadores Criticos: A School-university Partnership for Emergent Bilingual EC-6 Learning, Academy for Educational Studies Critical Questions in Education Conference.

Jeong, Heeok. “GO OUT THERE AND MAKE IT HAPPEN.”: Voices from GenJacks of Color, Office of Multicultural Affairs Diversity Conference.

Jeong, Heeok. Digital Literacies as Social Transformation: Multilingual Youth on the Move Toward an Antiracist World.

Jeong, Heeok. “I Did it ‘Cause You Said it to Me.”: Discourse of Empowerment and the Production of Agentive Subject.

Jeong, Heeok. Attempts to Decenter Whiteness: SFL in the English language Arts Classroom.

Jeong, Heeok. Black Literacies Matter: The Relational Context of a Predominant White Institution.

Jeong, Heeok. The Listening Guide: Methodologies that Disrupt Whiteness.

Jeong, Heeok. Embodied Inquiry Pedagogy through Digital Literacies for Young Children.

Jeong, Heeok. All Teaching is Language Teaching: Theme Chains for Writing Instruction Across Genres in Higher Education.

Jeong, Heeok. Black and Latina Teachers’ Racial Literacy Pedagogy of Love and Joy.

Jones, Eric J. Affective Responses to Fitness Testing in College-Aged Women.

Jones, Raymond J. Engaging in Collective Social Entrepreneurship: The Influence of Gender, Environment, and Collaboration on the Decision to Scale a Social Enterprise.

Jones, Richard. The Maids.

Jones, Richard. Theatre and Archival Memory: Irish Drama and Marginalised Histories, 1951-1977.

Jones, Richard. Ulick O'Connor and His "Extremely Modern Form.”

Jones, Samuel K. Performance of ESG vs Conventional Indices during Coronavirus Pandemic.

Jones, Samuel K. Downside Risk of ESG Indexes.

Kang, Hyunsook. Older Adults' Physical Activities and Subjective Well-Being.

Kelly, Marie T. Snowball Sportswear- A Case in Revenue Recognition, American Accounting Association (AAA) – Southwest 2022 Annual Meeting.

Kelly, Marie T. The Effect Color of Exams has on the Final Grade.

Kelly, Marie T. Snowball Sportswear: A Case in Revenue Recognition.

Kidd, Kathryn R. B. Response of Chinese Tallow (Triadica sebifera) and Coexisting Natives to Competition, Shade, and Flooding.

Kosovich, Stephen M. Gasoline Taxes vs. CAFE Standards: What Will It Take?

Kulhavy, David L. Plus Code: An Alphanumeric Code Geocoding Option for Professional Foresters.

Kwiatkowski, Matthew. Effects of Anthropogenic Light on Anuran Calling Site.

Kwiatkowski, Matthew. Facial Stripes Influence Attack Frequency on Snake Models.

Leysath, Margaret A. Visual Storytelling and Art Programs to Address Community Trauma, Texas Historical Commission Real Places.

Li, Wenjing. Hidden Price Promotions: Could Retailer Price Promotions Backfire?

Lias, Stephen. Mount Rainier Search and Rescue.

Logan, Laura M. Nursing Issues and Trends, Nursing Book Review.

Long, Nicholas E. Embeddings and Factor Maps of G-Shifts.

Long, Nicholas E. Inquiry Based Learning Materials for Linear Algebra.

Love Watkins, Ginny E. Transitions, Early Childhood Lab Teacher Workshop.

Martin, Michael. Road Work Ahead, Alternate Route Advised: Jack Kerouac and On the Roads Circuitous Connection to Naturalism.

McAdams, Lauren. Paper Alchemy.

McCleary, Daniel F. Educational Equity and the Critical Shortage: Let’s Get Digital, National Association of School Psychologists (NASP) Annual Conference.

McCleary, Daniel F. A Distance Education Policy for School Psychology Programs, National Association of School Psychologists (NASP) Annual Conference.

McCleary, Daniel F. Assessment Strategies and Practices Used with Native American Students, National Association of School Psychologists (NASP) Annual Conference.

McDaniel, James. Drone Mapping and Outcrop Modeling of the Ladonia Fossil Park area, on the North Sulphur River, Texas.

McDaniel, James. Satellite and Drone mapping of fossil collecting areas of the Weches Formation in Nacogdoches County, Texas.

McKenna Christopher. Spaghetti Analysis of Student Writing.

Meyer, Bradley E. SFA Percussion Ensemble Performance at TMEA.

Meyer, Bradley E. Recorded 2021-22 TMEA Percussion Etudes for Viv Firth Co.

Meyer, Bradley E. Virtual Clinic with the Tecnológico de Monterrey.
Meyer, Bradley E. Judge for Klein ISD Solo and Ensemble.

Meyer, Bradley E. Health and Wellness Interview with Professor Michael Burritt.

Mishra, Rajat. The Role of Industry Concentration on the Competitive Interactions of Leader and Challenger Firms, SW DSI.

Mishra, Rajat. Monitoring and Productivity.

Mishra, Rajat. The Coffee Shop Business.

Montana-Schalk, Carmen G. Trophic Ecology and Resource Partitioning of Centropomus undecimalis and Centropomus poeyi in the Usumacinta River Delta.

Montgomery, Mark S. Modeling Equity: Mathematics Teacher Educators Use of Torres' Rights of the Learner in Methods Courses, 26th Annual Conference of the Association of Mathematics Teacher Educators.

Morales Aguayo, Selma A. Dia de Muertos- A Time to Grieve & Remember.

Moulton, Aaron C. Green Light on Guatemala, Red Light on Costa Rica: Caribbean Basin Regimes, the U.S. Government, and Contested Interventions in Central America, 1954-1955, Clements Center for National Security - Belfer Center for Science and International Affairs - Lyndon Baines Johnson Presidential Library Civil War and Intervention: U.S. Foreign Policy in International Perspective.

Moulton, Aaron C. “The Counter-Revolution's Patron: Rafael Trujillo versus Venezuela's Acción Democrática Governments.”

Munro, Heather R. Assistive Technology for Visual Impairments: Training for a Lifetime of Teaching, Council for Exceptional Children 2022 Virtual Conference.

Nagy, Brian G. Nascent Ventures’ Green Initiatives and Angel Investor Judgments of Legitimacy and Funding.

Nielson, Russell L. Thermodynamic and Kinetic Promoters/Inhibitors for Nucleation of Gas Clathrates: Halogenation in the Presence of Salts Combined with Carbon Dioxide Injection, Texas Academy of Science Annual Meeting.

Nielson, Russell L. Distribution and Significance of Ripple Marks on the Beach Face in Sea Rim State Park, Texas, Texas Academy of Science 2022 Meeting.

Nielson, Russell L. Thermodynamic and Kinetic Promoters/Inhibitors for Nucleation of Gas Clathrates: Halogenation in the Presence of Salts Combined with Carbon Dioxide Injection.

Nielson, Russell L. Drone Mapping and Outcrop Modeling of the Ladonia Fossil Park area, on the North Sulphur River, Texas.

Nielson, Russell L. Satellite and Drone mapping of fossil collecting areas of the Weches Formation in Nacogdoches County, Texas.

Nielson, Russell L. Reviewed assessment procedures and data for the Geology Department.

Noe, Kelly G. The Effect Color of Exams has on the Final Grade.

Noe, Kelly G. The Real Effect of "Fed" Intervention.

Odunuga, Odutayo O. Beyond Chaperoning: UCS Proteins Emerge as Regulators of Myosin-mediated Cellular Processes.

Odwyer, Darla D. Herbal Antimicrobial Therapy Is Effective for SIBO and Potentiated by Co-administration of Anti-biofilm Agents.

Olson Beal, Heather K. Exploring Changes in Rural parents' School Choices Due to COVID-19: Lessons for Educator Preparation, Association of Teacher Educators Annual Conference.

Onchoke, Kefa K. Spectroscopic and Electrochemical Studies of dibenz[a,h]anthracene (DBaA): An Environmental Mutagen, 125th Annual Meeting of the Texas Academy of Science.

Onchoke, Kefa K. Comprehensive Structural and Compositional Investigation of Maya Pottery Sherds from Lake Petén Itzá, Guatemala, Central America, 125th Annual Meeting of the Texas Academy of Science.

Onchoke, Kefa K. A Method for the Determination of Pesticides in Wastewater Samples with High Performance Liquid Chromatography with Photodiode-Array (PDA) and Fluorescence Detectors, 125th Annual Meeting of the Texas Academy of Science.

Onchoke, Kefa K. Spectroscopic (FT-IR, UV-Vis, and Fluorescence) and HPLC-PDA Studies of Carbamazepine, Diclofenac and Ketoprofen, 125th Annual Meeting of the Texas Academy of Science.

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. Response of Chinese Tallow (Triadica sebifera) and Coexisting Natives to Competition, Shade, and Flooding.

Pace, Deborah A. "Got Math?" for Secondary Students.

Pace, Deborah A. Math 129 Concepts and Applications Notes.

Pace, Deborah A. From the Sandbox to the Ivory Tower.

Pannell, Summer S. Voices from the Field: Phase 4.

Qualls, Barbara A. Voices from the Field: Phase 4.
Qualls, Barbara A. Governance.

Reynolds, Linda L. Great Finds in the East Texas Research Center, Newton County Historical Society Genealogy Conference.

Reynolds, Linda L. Fabulous Find in the East Texas Research Center, Angelina County Genealogy Society African-American Genealogy/History Conference.

Rice, Sharon K. A Model of Teacher Candidate Support for edTPA, Association of Teacher Educators' 2022 Annual Meeting.

Richardson, Clint. A Brief Introduction to LaTeX.

Rogers, Pamela P. Do Targeted Assignment Reminders Have an Effect on Timely Assignment Completion Rates?

Rogers, Pamela P. Online Course Performance: Does Pre-Screening Affect Outcomes?

Roy, Sudeshna. From Censorship to Sensationalism: Heath Crisis Coverage, India and the National Public Agenda.

Roy, Sudeshna. Introduction.

Roy, Sudeshna. National Identity and Conflict Management in the Media: Kashmir at the Forefront.

Rudinger, Belinda J. AT in the IEP, AERBVI TAER.

Rudinger, Belinda J. Exploring the Efficacy of Adapting Read Naturally for Students with Visual Impairments, Council for Exceptional Children 2022 Convention and Expo.

Runnels, Chay. Visitor Demographics for the "Oldest Town" in Texas.

Salsbery, Kelly J. “Adverbialism as a Method for Ontology.”

Salsbery, Kelly J. "An Adverbial Approach to Number."

Salsbery, Kelly J. "An Epistemic Argument Against the Fine-Tuning Argument (for the Existence of God) Based on Biology."

Salsbery, Kelly J. "Kuhn and Intelligent Design Theory."

Salsbery, Kelly J. "Memetics and Critical Thinking."

Salsbery, Kelly J. "Ontological Commitment and Adverbialism: Moves in the Ontology Game."

Salsbery, Kelly J. "The Ethics of Human Enhancement."
Salsbery, Kelly J. "Why Artificial Life is Not Life."

Salsbery, Kelly J. Insights on the Use of Popular Culture in Presenting the Mind/Body Problem in the Undergraduate Classroom.

Sams, Jessica. Grammar of Woxtjanato.

Sanders, Mark E. Transforming the Dysfunctional Academic Department.

Sapkota, Kayla N. The Job Search During the Pandemic: The Perspectives of Employers.

Sapkota, Kayla N. Roundtable Discussion: Engaging Students with Assignments in Online Classes, Association for Business Communications Southwest US.

Sapkota, Kayla N. Can Resiliency be Taught? A Review of a Class Assignment, Association of Business Information Systems.

Savoy, Sarah C. Adult Impressions of Child Aggression.

Savoy, Sarah C. Distractions and Learning.

Schaeffer, James D. Recollection, Familiarity, and Behavioral Pattern Separation: A Correlational Study.

Sengupta, Bidisha. Interference in Amyloid-Beta Peptide Aggregation by Polyphenols, Texas Academy of Science 125th Annual Meeting.

Sengupta, Bidisha. Bridge to Baccalaureate Research Education Program between LSCS and SFASU (B2BREP).

Shoemaker, Nikki L. Snowball Sportswear- A Case in Revenue Recognition, American Accounting Association (AAA) – Southwest 2022 Annual Meeting.

Shoemaker, Nikki L. Snowball Sportswear: A Case in Revenue Recognition.

Shoemaker, Nikki L. The Antecedents of Professional Commitment in Accountants: Evidence from a Three-Component Model.

Shoemaker, Nikki L. The Effects of Goal Difficulty and Monitoring Frequency on Effort and Risk Taking.

Sigmar, Lucia S. Roundtable Discussion: Engaging Students with Assignments in Online Classes, Association for Business Communications Southwest US.

Simbi, Peter T. Collaborative Strategies in Delivering Human Services in Rural Communities.

Simbi, Peter T. Policy Practice: Advocacy Activities by Social Workers in East Texas Agencies.

Simbi, Peter T. Social Policy & Social Work: The Context of Social Work Practice.

Sinclair, Christina D. Elementary Children's Perceptions of Physical Activity Breaks, Council for Exceptional Children 2022 Convention and Expo.

Smith, Owen M. Insights on the Use of Popular Culture in Presenting the Mind/Body Problem in the Undergraduate Classroom.

Spradley, Elizabeth C. Crisis Narratives: Liminality as a Crisis Narrative Type/Act, University of Central Florida International risk and Crisis Communication Conference.

Spradley, Elizabeth C. Medically (Ab)Normal-Personally (Ab)Normal: Managing Dialectics of Medical Normalcy as a Parent, International Risk and Crisis Communication Conference.

Spradley, Elizabeth C. Discordant Rhetorical Responses: Crisis Communication in Sports Organizations in the COVID-19 Pandemic.

Spradley, Ty. Discordant Rhetorical Responses: Crisis Communication in Sports Organizations in the COVID-19 Pandemic.

Standley, James O. Assessing the Effectiveness of SFA's Mission.

Standley, James O. Compliance Certification: A Team Effort.

Standley, James O. Ensuring a Commitment to Quality Programs.

Standley, James O. Welcome to Affirming SFA Success!

Stephens, Pat. Old Faithful Visitors Center Exhibit Observation Study.

Stephens, Pat. Role of Historic Visitor Service Structures in the Interpretation of Natural and Scenic National Parks: Grand Canyon, Yellowstone, Yosemite.

Stephens, Pat. Gulf State Parks Phase II: Short Term Campers.

Stovall, Jeremy. Plus Code: An Alphanumeric Code Geocoding Option for Professional Foresters.

Stovall, J. Response of Chinese Tallow (Triadica sebifera) and Coexisting Natives to Competition, Shade, and Flooding.

Straub, Sarah M. Bilingual education reaches an East Texas Teacher Preparation Program: Bilingual Teacher Candidates' Perceptions on Their Educator Preparation, Academy for Educational Studies Critical Questions in Education Conference.

Straub, Sarah M. Sharing the Light: A Humane Education Approach to Improved University and Community Engagement, National Association for Multicultural Education NAME Conference: Advancing and Advocating for Social Justice and Equity.

Sumrall, Keilea. Analysis of Serum Ferritin Levels in a Group of Elite Ballet Dancers.

Swearingen, Sally B. 'No Title Yet."

Tasker, Elizabeth A. "Paranoia and Gentle Threats: Affect and Satire in Frances Sheridan's The History of Nourjahad."

Tasker, Elizabeth A. British Women Satirists in the Long Eighteenth Century.

Thompson, Jessica. Affective Responses to Fitness Testing in College-Aged Women.

Thornley, Andrew M. College Football: Proposals for Structural reform and Antitrust Implications, Sports and Recreation Law 2022.

Thornley, Andrew M. College Football: Proposals for Structural Reform and Antitrust Implications.

Thornton, Leonard J. Elementary Children's Perceptions of Physical Activity Breaks, Council for Exceptional Children 2022 Convention and Expo.

Towns, Lydia A. John Cabot and the Dawn of Atlantic Exploration.

Towns, Lydia A. Motivations and Methodologies for Exploration, 1500-1700.

Unger, Daniel R. Plus Code: An Alphanumeric Code Geocoding Option for Professional Foresters.

VanKley, Alexandra M. DNA and Protein Paper Models as a Tool to Study Macromolecules, Creating an Inclusive Learning Environment: An ASBMB (American Society for Biochemistry and Molecular Biology) Catalyst Conversation.

Vega, Jose G. Snowball Sportswear- A Case in Revenue Recognition, American Accounting Association (AAA) – Southwest 2022 Annual Meeting.

Vega, Jose G. Snowball Sportswear: A Case in Revenue Recognition.

Wagnon, Amber. Exploring Changes in Rural parents' School Choices Due to COVID-19: Lessons for Educator Preparation, Association of Teacher Educators Annual Conference.

Walker, Nathaniel B. RESIDENTIAL CONSTRUCTION DOCUMENTATION USING AUTOCAD: A Comprehensive Student Guide to What Your Future Employer Wants You to Know About #Codes #Office Standards #Project Coordination #CD's #Sheet Setup.

Welsh, Michael T. Discordant Rhetorical Responses: Crisis Communication in Sports Organizations in the COVID-19 Pandemic.
Weng, Yuhui. Measuring Loblolly Pine Crowns with Drone Imagery Through Deep Learning.

Weng, Yuhui. Response of Chinese Tallow (Triadica sebifera) and Coexisting Natives to Competition, Shade, and Flooding.

White, Charles. Savoy, Sarah C. Adult Impressions of Child Aggression.

Willardson, Spencer L. Role Theory and Kazakhstan's Multi-Vector Foreign Policy.

Wright, Carol S. Roundtable Discussion: Engaging Students with Assignments in Online Classes, Association for Business Communications Southwest US.

Wright, Carol S. Using Grammarly: Perceptions of Employees' Use in Professional Settings, Association for Business Communication Southwest US.

Wright, Carol S. Can Resiliency be Taught? A Review of a Class Assignment, Association of Business Information Systems.

Wright, Carol S. The Job Search During the Pandemic: The Perspectives of Employers.

Wright, Carol S. My Favorite Assignment: What's Up with Her? Learning About Personality.

Wurtz, Gary T. Texas School Music Project.

Xu, Tingting. Bilingual education reaches an East Texas Teacher Preparation Program: Bilingual Teacher Candidates' Perceptions on Their Educator Preparation, Academy for Educational Studies Critical Questions in Education Conference.

Xu, Tingting. Caregiver Guidance in the Language and Literacy Skills of Toddlers: An Examination from Two Classrooms at One University's Nationally Accredited Early Learning Center, Academy for Educational Studies Critical Questions in Education Conference.

Xu, Tingting. Elementary Children's Perceptions of Physical Activity Breaks, Council for Exceptional Children 2022 Convention and Expo.

Xu, Tingting. Facilitating early childhood engineering teaching and learning through professional development, Academy for Educational Studies Critical Questions in Education Conference.

Xu, Tingting. Body size and healthy practices: What did young children say?, Academy for Educational Studies Critical Questions in Education Conference.

Zhang, Yanli. Plus Code: An Alphanumeric Code Geocoding Option for Professional Foresters.

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, April 12, 2022

Staff Council

Topics of Discussion

Since we last reported to you on our work, the following topics have dominated the Council's discussions...

outsourcing of positions	staff salaries	Employee Assistance Program	Employee Wellness Program
SFA's future	social events	flexible work schedules	LEAP

Staff Council

Our Future Actions

What you can expect from Staff Council in the coming months...

Staff Council

Staff recognition

We will recognize 2020, 2021, and 2022 service awards and retirements during events at the Cole Art Center on April 19 and 20.

Focus on quality of worklife

Worklife affects total wellness, and we will be discussing issues that impact staff's ability to be successful in daily work, career, and life.

Election preparations

We will be opening the call for nominations in June and will hold representative elections in July and officer elections in August.

Madison Gartman Bio

Student Government Association – Student Body President

Madison Gartman is a Junior Ag Development major, pre-law, minor from Etoile, TX. Madison is serving as the Student Body President currently, and will remain in office until 2023.

Student Government Association
Board of Regents Report
April 2022

- SGA Elections
- Current and Upcoming SGA Initiatives

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
- Safety and Security Self-Assessment Report and Audit

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, *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, 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)