REPORT TO THE BOARD OF REGENTS

July 24-26, 2022

Meeting 357

STEPHEN F. AUSTIN
STATE UNIVERSITY

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Stephen F. Austin State University

Board of Regents

Meeting 357

July 24, 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
July 24-26, 2022
Meeting 357
Austin Building, Room 307

The Board of Regents of Stephen F. Austin State University will convene a three-day Board Meeting and Committee Meetings on July 24-26, 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, July 24, 2022
1:00 p.m.
CALL TO ORDER IN OPEN SESSION

Welcome and Introductions

RECESS TO COMMITTEE MEETINGS

MEETING OF THE BUILDING AND GROUNDS COMMITTEE

Presentation and Committee Action on Agenda Items 17-18:

Report: 2019A and 2019B Unspent Bonds
- Resolution
- Dining Hall Facility
- Residence Hall Facility, Auxiliary, and Academic Deferred Maintenance and Improvements Project

Report: CCAP Update

Report: Construction Report

17. Electricity Contract Authorization

18. Building and Grounds Policy Revisions

- Camps and Conferences 16.7
- Campus Design Standards 16.6
- Fire and Life Safety 13.24
- Juanita Curry Boynton House 16.32
- Norton HPE Complex 16.18

At approximately 2:30 p.m. the board will tour the Wright Music Building and Boynton Building.

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)

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 head volleyball coach, head softball coach, head tennis coach, head soccer coach, head bowling coach, co head track/field coach, co head track/field and cross country coach, interim chief audit executive, general counsel, coordinator of board affairs/compliance, 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 interim president. (Texas Government Code, Section 551.074)

RECONVENE BOARD MEETING IN OPEN SESSION
(Scheduled for approximately 8:30 p.m.)

The board will recess for the evening at approximately 8:30 p.m. with no further action expected.

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

MONDAY, July 25, 2022
8:30 a.m.
RECONVENE BOARD MEETING IN OPEN SESSION

Call to Order

Welcome and Introductions

President Cabinet Reports
- Enrollment Management
- Academic Affairs
- Diversity, Equity, and Inclusion

RECESS TO COMMITTEE MEETINGS

MEETING OF THE ACADEMIC AND STUDENT AFFAIRS COMMITTEE
(Scheduled at approximately 9:40 a.m. or following the previous agenda item)

Presentation and Committee Action on Agenda Items 12-16:

12. Additional Curriculum Change for 2022-2023

13. Chartwells Agreement Amendment/MOU

14. Holiday Schedule for 2022-2023

15. Learning Management System Renewal

16. Academic and Student Affairs Policy Revisions
- Accessibility of Electronic Information Resources 16.9
- Advanced Placement Guidelines 6.5
- Animals on University Property 13.2
- Authority to Act in the Absence of the President 2.4
- Children in the Workplace 13.15
- Compliance with the Americans with Disabilities Act and the ADA Amendments Act 2.5
- Comprehensive Scholarship Administration 3.31
- Grievance and Appeals 11.15
- Intellectual Property 9.4
- Interlibrary Loan Services 4.11.1
- Library Borrowing 4.11.2
- Library Non-Monetary Gifts 4.11.3
- Military Service Activation 6.14
- Missing Student Notification 13.13
- Outside Employment 11.19
- Parking and Traffic Services 13.14
- Policy Development and Format 1.6

Reasonable Workplace Accommodation for Disabilities 11.22
Satisfactory Academic Progress for Financial Aid Recipients 6.16
Second Baccalaureate Degrees 6.18
Small-Size Classes 7.26
Student Code of Conduct 10.4
Texas Comprehensive Research Fund 8.10
Title IX 2.13

At approximately 10:00 a.m., the board will tour the McKibben Building and the Ralph W. Steen Library. The board will break for lunch at approximately 12:00 p.m.

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

Presentation and Committee Action on Agenda Items 19-33:

19. Acknowledge Receipt of Audit Services Report
Information Technology Follow-Up Audit
External Information Technology Follow-Up Audit
Procurement Card Audit
Contract Management and Procurement Audit
Coin Collection Inventory
Juanita Curry Boynton House Inventory
External Quality Assurance Review
Update on Audit Plan

20. Annual Audit Plan for 2022-2023

21. Resolution for 2019A and 2019B Unspent Bond Proceeds (Pending Building and Grounds Committee Meeting)

22. Dining Hall Facility Project Budget (Pending Building and Grounds Committee Meeting)

23. Residence Hall Facility, Auxiliary, and Academic Deferred Maintenance and Improvements Project Budget (Pending Building and Grounds Committee Meeting)

24. Fiscal Year 2022-2023 Tuition, Fees, Waivers and Exemptions

Report: HEF Status Report Fiscal Year 2021-2022

25. Fiscal Year 2022-2023 Institutional Operating Budget

26. Fiscal Year 2022-2023 Budget Supplement for Compensation

27. Acknowledge Receipt of Contract Monitoring Report

28. Grant Awards

29. TexPool Resolution Amending Authorized Representatives

30. Vending Services Provider Contract

31. Netsync Network Solutions Contract – Wireless Access

32. Netsync Network Solutions Contract – Switch Support

33. Finance and Audit Policy Revisions
    Agency Funds 3.1
    Compliance 2.12
    Discretionary Use of University Funds 3.10
    Gifts, Loans, Endowments and Bequests 3.17
    Interdepartmental Transfer (IDT) 17.9
    Items Requiring Board of Regents Approval 1.4
    Lumberjack Education Assistance Policy 12.5
    Tuition Set-Aside Funds Programs 3.33
    Vendor Protests 16.36

RECESS COMMITTEE MEETINGS

RECESS TO EXECUTIVE SESSION
(Scheduled for approximately 4:00 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 head volleyball coach, head softball coach, head tennis coach, head soccer coach, head bowling coach, co head track/field coach, co head track/field and cross country coach, interim chief audit executive, general counsel, coordinator of board affairs/compliance, 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 interim president. (Texas Government Code, Section 551.074)

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

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

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

TUESDAY, July 26, 2022
8:30 a.m.
RECONVENE BOARD MEETING IN OPEN SESSION

Call to Order

Welcome and Introductions

Pledge and Invocation

Special Recognition

Board Action on Items 1-6:

1. Approval of Board Minutes Meeting 355, April 10-11, 2002 and Special Called Meeting 356, May 6, 2022.

2. Election of Interim Chief Audit Executive for 2022-2023 (Pending Executive Session)

3. Election of Coordinator of Board Affairs/Compliance for 2022-2023 (Pending Executive Session)

4. Election of General Counsel for 2022-2023 (Pending Executive Session)

5. Election of Interim President for 2022-2023 (Pending Executive Session)

6. Adoption of Board Evaluation (Pending Executive Session)

Board Action on Personnel Items 7-11:

7. Approval of Faculty and Staff Appointments

8. Approval of Change of Status

9. Approval of Faculty Promotions

10. Approval of Faculty Tenure

11. Approval of Retirements

Committee Reports and Board Action:

Academic and Student Affairs Committee Report and Board Action on Agenda Items 12-16, 34:

12. Approval of Additional Curriculum Change for 2022-2023

13. Approval of Chartwells Agreement Amendment/MOU

14. Approval of Holiday Schedule for 2022-2023

15. Approval of Learning Management System Renewal

16. Approval of Academic and Student Affairs Policy Revisions
    - Accessibility of Electronic Information Resources 16.9
    - Advanced Placement Guidelines 6.5
    - Animals on University Property 13.2
    - Authority to Act in the Absence of the President 2.4
    - Children in the Workplace 13.15
    - Compliance with the Americans with Disabilities Act and the ADA Amendments Act 2.5
    - Comprehensive Scholarship Administration 3.31
    - Grievance and Appeals 11.15
    - Intellectual Property 9.4
    - Interlibrary Loan Services 4.11.1
    - Library Borrowing 4.11.2
    - Library Non-Monetary Gifts 4.11.3
    - Military Service Activation 6.14
    - Missing Student Notification 13.13
    - Outside Employment 11.19
    - Parking and Traffic Services 13.14
    - Policy Development and Format 1.6
    - Reasonable Workplace Accommodation for Disabilities 11.22
    - Satisfactory Academic Progress for Financial Aid Recipients 6.16
    - Second Baccalaureate Degrees 6.18
    - Small-Size Classes 7.26
    - Student Code of Conduct 10.4
    - Texas Comprehensive Research Fund 8.10
    - Title IX 2.13

34. Approval of Naming Opportunities (Pending Executive Session)

Building and Grounds Committee Report and Board Action on Agenda Items 17-18:

17. Approval of Electricity Contract Authorization

18. Approval of Building and Grounds Policy Revisions
    - Camps and Conferences 16.7
    - Campus Design Standards 16.6
    - Fire and Life Safety 13.24
    - Juanita Curry Boynton House 16.32
    - Norton HPE Complex 16.18

Finance and Audit Committee Report and Board Action on Agenda Items 19-33:

19. Acknowledge Receipt of Audit Services Report
    - Information Technology Follow-Up Audit
    - External Information Technology Follow-Up Audit
    - Procurement Card Audit

Contract Management and Procurement Audit
Coin Collection Inventory
Juanita Curry Boynton House Inventory
External Quality Assurance Review
Update on Audit Plan

20. Approval of Annual Audit Plan for 2022-2023

21. Approval of Resolution for 2019A and 2019B Unspent Bond Proceeds (Pending Building and Grounds Committee Meeting)

22. Approval of Dining Hall Facility Project Budget (Pending Building and Grounds Committee Meeting)

23. Approval of Residence Hall Facility, Auxiliary, and Academic Deferred Maintenance and Improvements Project Budget (Pending Building and Grounds Committee Meeting)

24. Approval of Fiscal Year 2022-2023 Tuition, Fees, Waivers and Exemptions

25. Adoption of Fiscal Year 2022-2023 Institutional Operating Budget

26. Adoption of Fiscal Year 2022-2023 Budget Supplement for Compensation

27. Acknowledge Receipt of Contract Monitoring Report

28. Approval of Grant Awards

29. Approval of TexPool Resolution Amending Authorized Representatives

30. Approval of Vending Services Provider Contract

31. Approval of Netsync Network Solutions Contract – Wireless Access

32. Approval of Netsync Network Solutions Contract – Switch Support

33. Approval of Finance and Audit Policy Revisions
Agency Funds 3.1
Compliance 2.12
Discretionary Use of University Funds 3.10
Gifts, Loans, Endowments and Bequests 3.17
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Items Requiring Board of Regents Approval 1.4
Lumberjack Education Assistance Policy 12.5
Tuition Set-Aside Funds Programs 3.33
Vendor Protests 16.36

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President Report

Summer Commencement
New degree programs
Legislative Appropriation Request
Executive Director of Enrollment Management Search
99th Birthday
Homecoming

Faculty Senate Report
Review of anticipated Faculty Senate business for Fall 2022

Staff Council Report
Shared Governance
Staff Council Annual Elections, Bylaws, Amendments, Visibility and Presence
Compensation, Budget Development, LARs, Informal Translation Network
SFA's Future
Introduction of New Staff Council Chair

Student Government Association Report
NACA conference
Upcoming plans for SGA
Watermelon Bash
Battle of the Pineywoods
Tailgating Wars
Mental Health Awareness Week

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

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

Stephen F. Austin State University
Board of Regents
Meeting 357
July 24-26, 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

Administrators

Steve Westbrook
Damon Derrick
Jane Ann Bridges
Anthony Espinoza
Brandon Frye
Graham Garner
Rachele Garrett
Ryan Ivey
Michara DeLaney-Fields
Gina Oglesbee
Lorenzo Smith
Jill Still
Charlotte Sullivan

Building and Grounds Committee

RESOLUTION FOR 2019A AND 2019B UNSPENT BOND PROCEEDS

Explanation:

The Board of Regents of Stephen F. Austin State University on February 6, 2019 issued its Revenue Financing System Bonds Series 2019A and Revenue Financing System Bonds Taxable Series 2019B to finance the acquisition, purchase, construction, improvement, renovation, enlargement or equipment of property, buildings, structures, facilities, roads or related infrastructure of University projects. With the March 2020 coronavirus pandemic, on campus operations were ceased for a period of time which severely impacted the university. As a result, the use of the Series 2019A unspent bond proceeds for the Residence Hall and Series 2019B unspent bond proceeds for the Dining Hall Facility were reevaluated by administration. The University's Bond Counsel drafted A Resolution Designating and Confirming Projects For Expenditure Of Unspent Bond Funds From The Board's Revenue Financing System Bonds, Series 2019A And Taxable Series 2019B; Authorizing Other Matters Incident And Related Thereto; And Providing An Effective Date as shown in the Appendix.

Recommendation:

The administration recommends adoption of A Resolution Designating and Confirming Projects For Expenditure Of Unspent Bond Funds From The Board's Revenue Financing System Bonds, Series 2019A And Taxable Series 2019B; Authorizing Other Matters Incident And Related Thereto as presented in the Appendix.

A RESOLUTION DESIGNATING AND CONFIRMING PROJECTS FOR EXPENDITURE OF UNSPENT BOND FUNDS FROM THE BOARD'S REVENUE FINANCING SYSTEM BONDS, SERIES 2019A AND TAXABLE SERIES 2019B; AUTHORIZING OTHER MATTERS INCIDENT AND RELATED THERETO; AND PROVIDING AN EFFECTIVE DATE

WHEREAS, the Board of Regents (the "Board") of Stephen F. Austin State University (the "University") on February 6, 2019 issued its Revenue Financing System Bonds, Series 2019A (the "Series 2019A Bonds") and Revenue Financing System Bonds, Taxable Series 2019B (the "Taxable Series 2019B Bonds") pursuant to the terms and conditions provided in the "Resolution Authorizing the Issuance of One or More Series of Board of Regents of Stephen F. Austin State University Revenue Financing System Revenue Bonds; Providing for the Security for and Payment of Said Bonds; Establishing Procedures for Selling and Delivering the Bonds; and Approving and Authorizing Instruments and Procedures Relating Thereto" adopted by the Board on October 29, 2018 (the "Bond Resolution"); and

WHEREAS, the Series 2019A Bonds were issued to finance the acquisition, purchase, construction, improvement, renovation, enlargement or equipment of property, buildings, structures, facilities, roads or related infrastructure including the (a) Welcome Center and Student Support Services One Stop Shop, (b) Basketball Practice Facility, (c) Fine Arts Expansion Initiative, (d) Residence Hall and (e) costs of issuing the Series 2019A Bonds; and

WHEREAS, pursuant to Board Order 20-09 approved at the October 27-28, 2019, Board meeting, the Board approved the College of Fine Arts Expansion Project scope to include the School of Art's filmmaking program, the Kinesiology dance program and renovation of Turner Auditorium and increased the budget for such project, in part, by allocating approximately $13 million of the Series 2019A Bond proceeds initially set aside for the construction of a welcome center/one stop shop and deferred construction of such welcome center project; and

WHEREAS, the Taxable Series 2019B Bonds were issued to finance the acquisition, purchase, construction, improvement, renovation, enlargement or equipment of property, buildings, structures, facilities, roads or related infrastructure including a dining hall facility for the University and the Board is proceeding with the expenditure of the Taxable Series 2019B Bonds proceeds, including interest earnings, for the dining hall facility project; and

WHEREAS, in connection with the issuance of the Series 2019A Bonds and the Taxable Series 2019B Bonds, the University procured architects, contractors and other consultants that began planning and designing the Basketball Practice Facility, the Fine Arts Expansion Initiative and the Residence Hall being financed with the Series 2019A Bonds proceeds and the Dining Hall being financed with the Taxable Series 2019B Bonds, respectively; and

WHEREAS, in March 2020 the World Health Organization and the President of the United States separately declared the outbreak of a respiratory disease caused by a novel coronavirus ("COVID-19") to be a public health emergency. On March 13, 2020, the Governor of Texas declared a state of emergency for all counties in the State of Texas because of the effects of COVID-19. Subsequently, in response to a rise in COVID-19 infections in the State,

the Governor issued a number of executive orders intended to help limit the spread of COVID-19 and mitigate injury and the loss of life, including limitations imposed on business operations, social gatherings and other activities; and

WHEREAS, in response to the Governor's actions the University ceased on campus operations and all classes were transitioned to online delivery. Non-essential personnel worked remotely until July 2020. The University's auxiliary functions including residence halls and dining were severely impacted by the loss of housing and dining revenue. As a residential campus, the University requires students to live on campus until completion of 60 hours of undergraduate coursework. The on campus requirement was suspended for fall 2020 and spring 2021 and therefore the University suspended any further action related to the planning, design and construction of the new Residence Hall and Dining Hall; and

WHEREAS, as a result of the impact of COVID-19 and the decline in University revenues, Administration is recommending the Board take action to designate new projects set forth in "Exhibit A" attached hereto for the expenditure of all the remaining unspent and unencumbered Series 2019A Bond proceeds, including interest earnings (which for informational purposes was approximately $23,129,518.35 as of June 1, 2022), originally programmed for the new Residence Hall; and

WHEREAS, the Board hereby finds and determines that the adoption of this Resolution is in the best interests of the University; now, therefore,

BE IT RESOLVED BY THE BOARD OF REGENTS OF STEPHEN F. AUSTIN STATE UNIVERSITY THAT:

SECTION 1: Due to the effects of the COVID-19 pandemic, the Board hereby abandons construction of the Residence Hall as originally planned and further authorizes the expenditure of all remaining Series 2019A Bonds proceeds, including interest earnings, for the designated projects set forth in "Exhibit A" attached hereto.

SECTION 2: The Board hereby confirms proceeding with the dining hall facility and the expenditure of the Taxable Series 2019B Bond proceeds, including interest earnings, for such dining hall facility.

SECTION 3: This Resolution may be relied upon by the appropriate officials at the and establishes compliance by the Board with the requirements of Texas law and the Bond Resolution.

SECTION 4: The recitals contained in the preamble hereof are hereby found to be true, and such recitals are hereby made a part of this Resolution for all purposes and are adopted as a part of the judgment and findings of the Board.

SECTION 5: All resolutions, or parts thereof, which are in conflict or inconsistent with any provision of this Resolution are hereby repealed to the extent of such conflict, and the provisions of this Resolution shall be and remain controlling as to the matters resolved herein.

SECTION 6: This Resolution shall be construed and enforced in accordance with the laws of the State of Texas and the United States of America.

SECTION 7: If any provision of this Resolution or the application thereof to any person or circumstance shall be held to be invalid, the remainder of this Resolution and the application of such provision to other persons and circumstances shall nevertheless be valid, and the Board hereby declares that this Resolution would have been enacted without such invalid provision.

SECTION 8: It is officially found, determined, and declared that the meeting at which this Resolution is adopted was open to the public and public notice of the time, place, and subject matter of the public business to be considered at such meeting, including this Resolution, was given, all as required by Chapter 551, as amended, Texas Government Code.

SECTION 9: This Resolution shall be in force and effect from and after its final passage, and it is so resolved.

EXECUTED this the ____ day of _____, 2022.

_____
Chair, Board of Regents

_____
Secretary, Board of Regents

EXHIBIT A

The acquisition, purchase, construction, improvement, renovation, demolition, enlargement or equipment of property, buildings, structures, facilities, roads or related infrastructure for the following projects:

(1) Residence halls deferred maintenance, including demolishing certain residence halls;
(2) Electric grid analysis;
(3) Academic buildings and facilities deferred maintenance; and
(4) Auxiliary buildings and facilities deferred maintenance.

DINING HALL FACILITY PROJECT BUDGET

Explanation:

With the Resolution Designating And Confirming Projects For Expenditure Of Unspent Bond Funds From The Board's Revenue Financing System Bonds, Series 2019A And Taxable Series 2019B; Authorizing Other Matters Incident and Related Thereto; And Providing An Effective Date, the board of regents next step is to approve project budgets in accordance with policy 1.4, Items Requiring Board of Regents Approval.

For the Taxable Bonds Series 2019B for the Dining Facility, the board of regents previously ratified a project budget in October 2021 for Dining Facilities expenditures in the amount of $194,444.05 through October 31, 2021.

The bond proceeds of $15,800,000 and interest earnings through May 31, 2022 in the amount of $533,832.78 less the project budget already approved in the amount of $194,444.05 provide a balance of $16,139,388.73 available for the Dining Facilities additional project budget.

In accordance with the university's Dining Services Agreement with Compass Group USA, Inc. (Chartwells), $6,355,000 is included in the agreement to be used for Dining Facilities. University representatives are currently in discussion with Chartwells and the university's architects for the best use and treatment of the $6,355,000.

Recommendation:

The administration recommends approval of the Dining Facilities additional project budget in the amount of $16,139,388.73 and authorization for the president to sign project-associated contracts and purchase orders in accordance with policy 1.4, Items Requiring Board of Regents Approval.

RESIDENCE HALLS, AUXILIARY, AND ACADEMIC DEFERRED MAINTENANCE AND IMPROVEMENTS PROJECT BUDGETS

Explanation:

With the Resolution Designating And Confirming Projects For Expenditure Of Unspent Bond Funds From The Board's Revenue Financing System Bonds, Series 2019A And Taxable Series 2019B; Authorizing Other Matters Incident and Related Thereto; And Providing An Effective Date agenda item, the Board of Regents next step is to approve project budgets in accordance with policy 1.4, Items Requiring Board of Regents Approval.

For the nontaxable Bonds Series 2019A for the Residence Halls, Auxiliary, and Academic Deferred Maintenance and Improvements Project Budgets, the board of regents previously ratified a project budget in October 2021 for Student Residential Facilities expenditures in the amount of $1,090,308.67 through October 31, 2021.

In January 2022, the board of regents approved an amount not to exceed $200,000 for a campus assessment. Actual expenditures including encumbrances for the campus assessment total $199,850.

The bond proceeds of $23,700,000 and interest earnings through May 31, 2022 in the amount of $719,677.02 less project budget approved in October 2021 in the amount of $1,090,308.67 provides a balance of $23,329,368.35 available for projects.

Anticipated use of the remaining funds includes Residence Halls and Auxiliary Deferred Maintenance and Improvements of $20,401,518.35; campus assessment authorized by the board of regents in January 2022 of $199,850; electric grid study of $158,000; Wright Music Building Roof Deferred Maintenance and Improvements of $500,000; Art Building HVAC Deferred Maintenance and Improvements of $1,400,000; and Health and Wellness Services Facility Deferred Maintenance and HVAC Improvements of $670,000.

For the Health and Wellness Services Facility, an additional $230,000 is allocated to the project in the 2022-23 institutional operating budget Higher Education Fund (HEF) allocation for a total project budget of $900,000.

Recommendation:

The administration recommends approval of the Residence Halls, Auxiliary, and Academic Deferred Maintenance Improvements additional project budgets as follows:

Project	Amount	Funding Source and Notes
Residence Halls and Auxiliary Deferred Maintenance and Improvements	$ 20,401,518.35	2019A Bond Proceeds and Interest
Campus Assessment	$ 199,850.00	2019A Bond Proceeds and Interest
Electric Grid Study	$ 158,000.00	2019A Bond Proceeds and Interest
Health and Wellness Services Facility Deferred Maintenance and HVAC Improvements	$ 900,000.00	2019A Bond Proceeds and Interest of $670,000 and FY 23 HEF of $230,000
Wright Music Building Roof Deferred Maintenance and Improvements	$ 500,000.00	2019A Bond Proceeds and Interest
Art Building HVAC Deferred Maintenance and Improvements	$ 1,400,000.00	2019A Bond Proceeds and Interest
Total Project Budgets	$ 23,559,368.35	Includes $230,000 HEF and is in addition to the project budget of $1,090,308.67 approved in October 2021

The administration recommends contracting for the Art Building HVAC Deferred Maintenance and Improvements with Johnson Controls, Inc. for an amount not to exceed $1,400,000 through The Interlocal Purchasing System (TIPS). The administration recommends authorization for the president to sign associated contracts and purchase orders for the projects in accordance with policy 1.4, Items Requiring Board of Regents Approval.

CCAP UPDATE

CONSTRUCTION UPDATE

Stephen F. Austin State University

Board of Regents
Building and Grounds Committee

July 25, 2022

Construction Update

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July 25, 2022

Construction Summary

Project status current as of June 30, 2022.

Project	Const Start Date	Fund Source	Board Approved Budget	Expenditures	Encumbered	Total Cost to Date	Available Balance	Const % Complete	Const Complete Date
Campus Space Realignment and Renovation	N/A	HEF	$ 4,500,000	$ 1,536,260	$ -	$ 1,536,260	$ 2,963,740	n/a	UNK
College of Fine Arts Expansion	Dec '20	Revenue Financing Bonds	$ 50,000,000	$ 27,140,858	$ 20,713,936	$ 47,854,794	$ 2,145,206	70%	Mar '23
Basketball Practice Facility	Jul '19	Revenue Financing Bonds	$ 29,232,845	$ 27,981,507	$ 1,207,435	$ 29,188,942	$ 43,903	100%	Oct '21
Capital Improvements Plan	N/A	Revenue Financing Bonds	$ 200,000	$ -	$ 199,850	$ 199,850	$ 150	-	-
Power Plant 1 Upgrade	Oct '20	HEF	$ 3,500,000	$ 3,422,289	$ 51,154	$ 3,473,443	$ 26,557	100%	Oct '21
Music and Boynton Utility System Upgrade	Jun '21	HEF	$ 2,000,000	$ 1,838,577	$ 161,421	$ 1,999,998	$ 2	100%	Apr '22
Shelton Gym Air Handler Replacement	TBD	HEF	$ 675,000	$ 4,142	$ 349,589	$ 353,731	$ 321,269	47%	TBD
Totals			**$ 90,107,845**	**$ 61,923,632**	**$ 22,683,384**	**$ 84,607,017**	**$ 5,500,828**		

*2019 Residence Hall / Dining Hall Bond available balance of $39,505.546.37

Campus Space Realignment and Renovation *Board Order 18-32*

Project Team

Owner's Rep:	n/a
Design & Engineering:	n/a
Contractor:	n/a
Project Support:	n/a

Scope of Work

In the April 2016 meeting, the Board approved Facility Programming and Consulting (FP&C) to assess campus building space and utilization, and develop a comprehensive space utilization plan. FP&C has concluded the space assessment recommendations on education and general (E&G) buildings. Using the FP&C space assessment as a guide, the university wishes to implement a space realignment, utilization, and renovation process. The process will involve departmental and functional moves and any necessary E&G space reconfiguration and/or renovation. The space implementation plan will begin in fiscal year 2018 and will be prioritized based on institutional need and available resources. Specific initiatives that require Board of Regents' approval will be submitted as needs are prioritized and costs are fully developed.

Project Details

Funding Source:	HEF
Project Approval:	Jul-2018
Project Budget:	$4,500,000.00

Construction Details

Notice to Proceed:	N/A
Percent Complete:	n/a
Substantial Completion:	unknown
Guaranteed Max Price:	n/a

Project Update

- Board Order 22-33, $1,310,000 for IT Infrastructure Refresh
- Transfer out for Austin 2nd & 3rd Floor Renovation

Cost Analysis

Project Budget	Expenditures	Encumbered	Total to Date	Avail Balance
4,500,000.00	1,536,260.00	0.00	1,536,260.00	2,963,740.00

College of Fine Arts Expansion *Board Order 20-10*

Project Team

Owner's Rep:	Physical Plant
Design & Engineering:	Kirksey Architecture, Schuler Shook, + Team
Contractor:	KDW, Ltd.
Project Support:	Armko Industries, Project Control a Raba Kistner Company, Campos Engineering

Scope of Work

Renovate and construct an addition to the Griffith Fine Arts building consistent with the SFA master plan, FP&C space assessment study, and Kirksey Architecture programming assessment.

Project Details

Funding Source:	Revenue Financing Bonds	
	Bond Resolution of $37,000,000	*Board Order 19-38*
Project Approval:	Dec-2020	
Project Budget:	$50,000,000.00	
	Increased from $37,000,000 to $50,000,000	*Board Order 20-10*

Construction Details

Notice to Proceed:	Dec-2020	
Percent Complete:	70%	
Substantial Completion:	Mar-2023	
Guaranteed Max Price:	$41,956,925.00	
	$779,838.65	Phase I: Demolition & Abatement
	$41,177,086.35	Phase II: Building Construction
Transition to Operations:	Mar-2023	
Building Occupancy:	Aug-2023	

Project Update

- Obtaining cost and availability information on furniture, fixtures, & equipment
- Experiencing AV equipment supply chain issues
- Interior finish out on existing building underway

Cost Analysis

Project Budget	Expenditures	Encumbered	Total to Date	Avail Balance
50,000,000.00	27,140,857.89	20,713,935.91	47,854,793.80	2,145,206.20

Basketball Performance Center *Board Order 19-38*

Project Team

Owner's Rep:	Physical Plant
Design & Engineering:	Populous + Team
Contractor:	KDW, Ltd.
Project Support:	n/a

Scope of Work

Construct an addition to the William R Johnson Coliseum that will include a basketball practice facility and house men's and women's basketball operations and associated support facilities.

Project Details

Funding Source:	Revenue Financing Bonds	
	Bond Resolution of $26,000,000	*Board Order 19-38*
Project Approval:	Jul-2019	
Project Budget:	$29,232,845	
	Increased from $26,000,000 to $28,500,000	*Board Order 20-22*
	Increased from $28,500,000 to $29,232,845	*Board Order 21-27*

Construction Details

Notice to Proceed:	Jul-2019	
Percent Complete:	100%	
Substantial Completion:	Oct-2021	
Guaranteed Max Price:	$25,462,604.00	
	$1,237,057.20	Phase I: Tunnel
	$24,225,546.80	Phase II: Building Construction
Transition to Operations:	Oct-2021	
Building Occupancy:	Sep-2021	

Project Update

- Construction close-out in process
- External audit scheduled, July 2022

Cost Analysis

Project Budget	Expenditures	Encumbered	Total to Date	Avail Balance
29,232,845.00	27,981,506.62	1,207,434.95	29,188,941.57	43,903.43

Capital Improvements Plan *Board Order 22-24*

Project Team

Owner's Rep:	Physical Plant
Design & Engineering:	Kirksey Architecture + Team
Contractor:	-
Project Support:	-

Scope of Work

Replace air handler for Shelton Gym.

Project Details

Funding Source:	Revenue Financing Bonds
Project Approval:	Jan-2022
Project Budget:	$200,000.00

Construction Details

Notice to Proceed:	-
Percent Complete:	-
Substantial Completion:	-
Guaranteed Max Price:	-

Project Update

Cost Analysis

Project Budget	Expenditures	Encumbered	Total to Date	Avail Balance
200,000.00	0.00	199,850.00	199,850.00	150.00

Power Plant 1 Upgrade *Board Order 19-54*

Project Team

Owner's Rep:	Physical Plant
Design & Engineering:	Two Fifteen Engineering & EMA Engineering
Contractor:	Core Construction
Project Support:	Gessner Engineering

Scope of Work

Work includes upgrades to the utility distribution system with additional lines and HVAC equipment Power Plant 1 to support the fine arts project and provide additional utility support capacity.

Project Details

Funding Source:	HEF	*2019-20 Capital Budget*
Project Approval:	Jul-2019	
Project Budget:	$3,500,000.00	

Construction Details

Notice to Proceed:	Oct-2020
Percent Complete:	100%
Substantial Completion:	Oct-2021
Guaranteed Max Price:	n/a

Project Update

- Received final engineering site inspection
- Final operations and maintenance documents pending
- Processing final applications for payment

Cost Analysis

Project Budget	Expenditures	Encumbered	Total to Date	Avail Balance
3,500,000.00	3,422,289.01	51,153.81	3,473,442.82	26,557.18

Music & Boynton Utility System Upgrade *Board Order 20-68*

Project Team

Owner's Rep:	Physical Plant
Design & Engineering:	Two Fifteen Engineering & EMA Engineering
Contractor:	Core Construction
Project Support:	Gessner Engineering

Scope of Work

This project provides additional support for the Power Plant 1 expansion project and the expanded fine arts facilities. This project will add an additional chiller to Power Plant 1, remove the old energy inefficient equipment in both Boynton and Music buildings, and connect both buildings to the hydronic piping system. Site work, installation, and flood mitigation will be included in the utility infrastructure upgrade.

Project Details

Funding Source:	HEF
Project Approval:	Jul-2021
Project Budget:	$2,000,000.00

Construction Details

Notice to Proceed:	Jun-2021
Percent Complete:	100%
Substantial Completion:	Apr-2022
Guaranteed Max Price:	n/a

Project Update

- Received final engineering site inspection
- Final operations and maintenance documents pending
- Processing final applications for payment

Cost Analysis

Project Budget	Expenditures	Encumbered	Total to Date	Avail Balance
2,000,000.00	1,838,577.21	161,420.53	1,999,997.74	2.26

Shelton Gym Air Handler Replacement *Board Order 21-73*

Project Team

Owner's Rep:	Physical Plant
Design & Engineering:	-
Contractor:	ArklaTex Mechanical
Project Support:	-

Scope of Work

Replace air handler for Shelton Gym.

Project Details

Funding Source:	HEF	*2020-21 Capital Budget*
Project Approval:	Jul-2021	
Project Budget:	$675,000.00	

Construction Details

Notice to Proceed:	-
Percent Complete:	47%
Substantial Completion:	Aug-2022
Guaranteed Max Price:	-
Transition to Operations:	Aug-2022
Building Occupancy:	-

Project Update

- Contractor work to be complete end of July

Cost Analysis

Project Budget	Expenditures	Encumbered	Total to Date	Avail Balance
675,000.00	4,141.69	349,589.00	353,730.69	321,269.31

ELECTRICITY CONTRACT AUTHORIZATION

Explanation:

Stephen F. Austin State University participates in an electricity contract with members of the Texas A & M University system consortium in order to obtain competitive electricity rates. The current contract with Texas General Land Office acting through Cavallo Energy Texas, LLC will expire on December 31, 2023. In order to secure competitive rates in the future, members of the Texas A & M University system consortium have entered into a new contract with Direct Energy Business, LLC for a contract period of January 1, 2024 through June 30, 2025.

Recommendation:

The administration recommends that the university be authorized to enter into an electricity contract with members of the Texas A & M university system consortium with Direct Energy Business, LLC based on the best value for our university in securing competitive future rates. Designated funds and Auxiliary funds will be used for this purchase. The administration further recommends the president be authorized to sign all purchase orders and associated contracts or documents.

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:

Camps and Conferences 16.7
Campus Design Standards 16.6
Fire and Life Safety 13.24
Juanita Curry Boynton House 16.32
Norton HPE Complex 16.18

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Camps and Conferences

Policy Number: 16.7

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: Campus Living, Dining and Auxiliaries

Purpose of Policy (what does it do): Supplies requirements and guidelines for internal and external groups wishing to host a camp or conference on University property and using University facilities

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for <u>each</u> substantive revision: Semantics, clarification, and title changes

Specific rationale for deletion of policy:

Additional Comments:

Cross reference Campus Programs for Minors.

Reviewers:

Student Affairs Policy Committee
Brandon Frye, Vice President Student Affairs
Damon Derrick, General Counsel

Camps and Conferences

Original Implementation: 1987
Last Revision: ~~July 23, 2019~~*July 26, 2022*

Stephen F. Austin State University may host a variety of camps and conferences that make use of university facilities. This policy outlines certain requirements for these events.

Camps and Conference Policy and Procedure Manual

The university will maintain a manual outlining specific policies and procedures related to requesting, scheduling, producing and paying for camps and conferences. This manual will be available online, *and a printed copy* available from the ~~Student Services~~*Reservations O*~~o~~ffice *in the Baker Pattillo Student Center* and provided to each camp or conference director.

Camps and Conferences Coordinator

As the needs of camps and conferences are varied, the university provides a camps and conferences coordinator to assist with planning. This coordinator is the primary position at the university that assists camp and conference directors with arranging event inclusions such as housing, meals, meeting space, insurance and other special needs.

Eligibility

Any camp or conference requesting use of university facilities must ~~have a university sponsor~~*be sponsored by a university department*. It is the responsibility of the university sponsor to ensure that all programs and activities conducted on university property are in compliance with the Americans with Disabilities Act and university policy 13.5 (Campus Programs for Minors).

Insurance Requirements

As a condition of approval, each camp or conference is required to maintain an acceptable level of general liability and accident medical insurance coverage as outlined in the camps and conferences policy and procedure manual.

Cross Reference: Campus Programs for Minors (13.5)

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*

Forms: Camps and Conferences Policy and Procedure Manual

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Campus Design Standards

Policy Number: 16.6

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: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy provides design and construction teams with general guidance regarding the university's intent to develop a consistent approach to designing and constructing buildings emphasizing the importance of life cycle cost, maintenance reliability, and unified architectural vernacular.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision:

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

John Branch, Physical Plant Interim Director
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Campus Design Standards

Original Implementation: July 21, 2009
Last Revision: July *26~~23~~*, 20*22~~19~~*

Purpose

This policy provides design and construction teams with general guidance regarding the university's intent to develop a consistent approach to designing and constructing buildings emphasizing the importance of life cycle cost, maintenance reliability, and unified architectural vernacular.

General

The university is committed to the highest level of building standards and recognizes that collaboration in design, construction and maintenance is essential to provide the appropriate level of those standards. The Physical Plant Department has the responsibility to oversee and manage design, construction, renovation and landscape projects. Project proposals will be guided by the campus master plan, strategic plan and campus space utilization strategy.

Each project's design, materials, and construction shall conform to the most current adopted code editions by the state of Texas, including but not limited to the International Building Codes, Life Safety Codes (adopted by the state fire marshal~~l~~), National Electric Code, applicable Texas Department of Licensing and Regulation statutes, ASHRAE (adopted by SECO), U.S. EPA regulations, Americans with Disabilities Act, Texas Accessibility Standards, the Fair Housing Act, Texas Building Energy Code, and all applicable laws of the United State and the state of Texas.

SFA Physical Plant Department maintains a set of Design and Building Standards as a guidance for design and construction professionals for all phases of projects. The guidelines serve as a reference and are not intended to replace applicable codes.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Fire and Life Safety

Policy Number: 13.24

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

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

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

Purpose of Policy (what does it do): The purpose of this policy is to aid in protecting the physical, human, and fiscal resources of the university. The Department of Environmental Health, Safety, and Risk Management (EHSRM) has the primary responsibility to establish and enforce procedures that ensure university compliance with fire and life safety guidelines.

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: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Jeremy Higgins, Director of Environmental Health, Safety, and Risk Management
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Fire and Life Safety

Original Implementation: July 16, 2013
Last Revision: July *26~~23~~*, 202*2~~19~~*

Purpose

The purpose of this policy is to aid in protecting the physical, human, and fiscal resources of the university. The Department of Environmental Health, Safety, and Risk Management (EHSRM) has the primary responsibility to establish and enforce procedures that ensure university compliance with fire and life safety guidelines.

General

Fire prevention is an important component of the university's fire safety program and being proactive against any potential fire and life safety hazards offers the greatest protection against injury or property loss. The university's fire and life safety program is designed to prevent or reduce property loss and injury from fire and explosions arising from storage, handling, and use of flammable and combustible substances, materials, and devices. The fire and life safety procedures available on the EHSRM website (https://www.sfasu.edu/safety) are essential in promoting fire and life safety and enhancing university compliance with applicable codes and regulations.

The university's fire and life safety program will comply with the NFPA 1 Fire Code, NFPA 101 Life Safety Code, and SFA's fire and life safety procedures while cooperating with the local fire department to ensure fire and life safety procedures comply with local requirements. Compliance with state and local requirements for accessibility to facilities, compatibility of equipment, adequacy of fire suppression water supplies and hydrants is necessary for the safety of responding firefighters and preservation of state property.

EHSRM Responsibilities

The director of EHSRM (or designee) has primary responsibility to administer and oversee compliance with the university's fire and life safety program. Duties of EHSRM include:

a) Inspecting university buildings and property for fire safety hazards, risks, or in response to a notice of a possible violation. In carrying out this duty, the EHSRM safety officer or representative shall have the authority to enter any university building, structure, room, office or laboratory (university employees may accompany the EHSRM safety officer on an inspection of their area);
b) Recommending preventative and corrective action and working with university departments to assure appropriate action is taken;
c) Establishing and coordinating fire safety training programs (ex: fire drills) to comply with regulatory requirements or upon request of department heads;
d) Serving as the official university contact with state and local fire marshals and other state agencies regarding fire safety;

e) Preparing mandated reports and compiling and disseminating data related to the fire safety program;
f) Communicating local, state, and national fire safety requirements to university officials;
g) Maintaining records related to the fire safety program in accordance with the record retention schedule of the university and the state of Texas;
h) Serving as an advisor for the university departments on fire safety issues;
i) Serving as the Authority Having Jurisdiction (AHJ) for fire safety codes and standards;
j) Investigating all fires occurring on university property;
k) Working closely with the local fire department, police department, and other emergency response agencies to assure they are informed about the campus so as to be prepared in case of an emergency; and
l) Approving waivers of university fire and life safety policies and procedures.

Waivers

The director of EHSRM is responsible for granting waivers to university fire and safety policies and procedures. Waivers may be granted on a case-by-case basis or as a blanket approval which applies to a specific type of event, function, or use.

Policy Compliance

It is imperative that SFA employees comply with federal, state, and local environmental health, safety, and risk management legislation, and relevant government fire and life safety codes and regulations. In addition, it is essential that employees observe industry best practices and comply with SFA safety policies, and procedures. Non-compliance can result in sanctions against the university, as well as posing serious risks to students, employees, visitors, and university property. Disciplinary action may be taken against university students and employees who do not comply with this policy and associated regulations. Offending materials and substances may be confiscated permanently for further protection of the surrounding environment.

Cross Reference: Health and Safety (13.10); Risk Management (13.19); National Fire Protection Association *(nfpa.org)*; Texas State Fire Marshal *(tdi.texas.gov)*

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Juanita Curry Boynton House

Policy Number: 16.32

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

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

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

Purpose of Policy (what does it do): This policy affirms that the Juanita Curry Boynton House (Boynton House) serves as a university event space and as the residence of the university president. It prescribes responsibility for the university property used and/or stored at the facility and inventory management procedures; it officially designates event and residential space and the process for making decisions concerning renovations and décor.

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:

Judi Kruwell, Associate Vice President of Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Juanita Curry Boynton House

Original Implementation: July 23, 2019
Last Revision: *July 26, 2022* ~~None~~

Purpose

This policy affirms that the Juanita Curry Boynton House (Boynton House) serves as a university event space and as the residence of the university president. It prescribes responsibility for the university property used and/or stored at the facility and inventory management procedures; it officially designates event and residential space and the process for making decisions concerning renovations and décor.

Property

The president is designated as the property custodian for all university property located at the Juanita Curry Boynton House and grounds. The president is responsible for maintaining an accurate and current inventory, documented by photographs, of all university property located at the Boynton House in the Juanita Curry Boynton House property log. The updated log will be provided by the Office of the President to the director of procurement and *business*~~property~~ services*/HUB coordinator* and the chief audit executive on an annual basis coinciding with the annual property inventory audit.

The Department of Procurement and *Business*~~Property~~ Services is responsible for conducting a periodic property inventory audit in accordance with policy 17.14, Property Inventory and Management. In addition, during the periodic inventory, the Department of Procurement and *Business*~~Property~~ Services will *select and* spot check items on the Juanita Curry Boynton House property log. The Department of Audit Services may audit any and all property as considered necessary.

Space Allocation

The Juanita Curry Boynton House serves as a dual-use facility; the facility serves as both an event/hosting space for the university and as a personal residence of the president. The following prescribes the nature of the various spaces within the facility:

<u>University Event Space</u>

- Formal Living Room and Main Foyer
- Commercial Kitchen
- Dish Storage Room

- Formal Dining Room
- Guest Bathroom
- Outdoor areas

Hybrid Space

- East Wing Room
- Bar

Residential Space

- Master Bedroom/Bathroom
- Upstairs Rooms 1-4
- Residential Kitchen
- Den/TV Room

Notwithstanding these allocations, the president is not restricted to use solely of the residential space; rather, the president may make use of the entire facility, subject to any restrictions provided in this policy.

Renovation, Furnishing, and Décor

Any decisions regarding renovation, furnishing, and décor will be brought before the Juanita Curry Boynton House committee. This committee shall consist of the following individuals: the chair of the Board of Regents (or designee), the vice president for university advancement, the director of the physical plant department, a representative from Interior Design program in the School of Human Sciences, the chief audit executive (ex officio), and the general counsel (ex officio). The chair of the Board of Regents (or designee) will serve as chair of this committee. The committee may designate additional individuals to advise it as desired.

The renovation, furnishing, and décor of university event space and hybrid space is within the sole purview of the Juanita Curry Boynton House committee. For hybrid space, the committee will solicit and consider input from the president.

Furnishing and décor of residential space is the sole purview of the president. Any request for renovation, including but not limited to construction, space modification, and paint and/or wallpaper, will be submitted to the Juanita Curry Boynton House committee for approval.

All university policies and procedures apply, including but not limited to those regarding procurement and establishment of a budget.

Cross Reference: Property Inventory and Management (17.14)

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: Juanita Curry Boynton House Property Log

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Norton HPE Complex

Policy Number: 16.18

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 Acacdemic Affairs and Vice President of Student Affairs

Purpose of Policy (what does it do): Policy discusses use of equipment and grounds for HPE and Campus Rec.

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: Minor changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Norton HPE Complex

Original Implementation: Summer, 1975
Last Revision: ~~January 29, 2019~~*July 26, 2022*

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

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

Facility Usage

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

Non-SFA groups may rent the facility in accordance with Policy 16.33.

The facility may be used during emergency operations (i.e. evacuation shelter) when deemed necessary by the vice president ~~for university~~*of student* affairs *or their designee*. During such use, ~~University~~ *Student* Affairs staff will be responsible for facility management. Every effort will be made to minimize the impact on academic classes scheduled in the HPE Complex.

Priority of Use/Scheduling

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

HPE Weight Room	12 am – 6 am	Campus Recreation
	6 am - Noon	Kinesiology & Health Science

	Noon – 1 pm	Campus Recreation
	1 pm – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Racquetball	12 am – 8 am	Campus Recreation
	8 am – Noon	Kinesiology & Health Science
	Noon – 1 pm	-Campus Recreation
	1 pm – 4pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Indoor Pool	12 am – 8 am	Campus Recreation
	8 am – Noon	Kinesiology & Health Science
	Noon – 1 pm	Campus Recreation
	1 pm – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Big Gym	12 am – 6 am	Campus Recreation
	6 am – Noon	Kinesiology & Health Science
	Noon – 1 pm	Campus Recreation
	1 pm – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Gymnastics Room	12 am – 6 am	Campus Recreation
	6 am – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE/Shelton Classrooms and Labs	12 am – 12 am	Kinesiology & Health Science
	Weekends	Kinesiology & Health Science
Shelton Gym	12 am – 6 am	Campus Recreation
	6 am – *2:30*~~4~~ pm	Kinesiology & Health Science
	2:30~~4~~ pm – ~~*10*~~*7 10* pm	Athletic Department *(In-season volleyball priority*~~*only*~~*)/Campus Recreation*
	10~~*7*~~ pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
	Saturdays-10am-4pm	*Athletics (In-season volleyball priority*~~*only*~~*)/Campus Recreation*

Intramural Fields	12 am – 8 am	Campus Recreation
	8 am – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
Tennis Courts	12 am – 8 am	Campus Recreation
	8 am – 4 pm	Kinesiology & Health Science
	~~4 pm 7 pm~~*All day/night (24/7)*	Athletic Department (Courts #5-8 & 11-14 only)
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation

Cross Reference: Use of University Facilities (16.33)

Responsible for Implementation: Provost and *Executive* Vice President for Academic Affairs; Vice President ~~for~~ *of* ~~University~~ *Student* Affairs*; Director of Intercollegiate Athletics*

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

Forms: None

Board Committee Assignment: Building and Grounds

Stephen F. Austin State University

Board of Regents

Building and Grounds Committee Tour

Sunday, July 24, 2022

Schedule

2:45 p.m.	Travel from Austin Building to Tom and Peggy Wright Music Building
2:55 p.m.	Tour floors of Wright Music Building
	Led by: Dr. Gary Wurtz, Dean, Micky Elliott College of Fine Arts
	Dr. Nathan Nabb, Director, School of Music
3:35 p.m.	Depart for Boynton Building
3:40 p.m.	Tour floors of Boynton Building
	Led by: Dr. John Hendricks, Chair, Mass Communications
	Anthony Espinoza, Chief Information Officer
4:20 p.m.	Depart for Austin Building
	Adjourn Building and Grounds Committee Meeting

STEPHEN F. AUSTIN STATE UNIVERSITY
SCHOOL *of* MUSIC

Student/Enrollment Data:

- The SFA School of Music is accredited by the National Association of Schools of Music (NASM)
- At 437 music majors last fall, we are in the largest enrollment cohort maintained by NASM (401+).
- Our enrollment has grown by over 14% in the last ten years despite the recent downturn.
- Our retention is among the highest across the university, with an 83.6% average among first-time full-time undergrads.
- We enroll students from across the country and around the world.
- With proper resourcing and strategic implementation, there are opportunities to grow even more.

Faculty/Staff Data:

- The faculty in the SFA School of Music are dedicated artists and teachers with outstanding reputations at the national and international level.
- The faculty maintain a strong tradition of research and creative activity, often performing and giving invited presentations around the world.
- According to the Office of Institutional Research data, our faculty teach a 36.7 TLC workload when 24 is considered full-time.
- Despite having 61 faculty in the school of music, our enrollment puts many at significant overload every semester.
- Our faculty are the most effective recruiters on campus: we are regularly out in the schools, and our camps this summer brought in approximately 1,000 students to campus.

Challenges We Face:

- The recruitment culture in fine arts, and especially music, is based largely in merit and performance scholarships. Recently, with the removal of housing scholarships, reduction in student service fee allocations, discontinuation of LEAP for graduate assistantships, and uncertainty from other sources around the university, we have endured **drastic** cuts in support from the university (over 75%). Our current funding will place us below the 25% percentile according to NASM.
- According to NASM data, our faculty pay is around the 5th percentile nationwide while our faculty workload is between the 75th and 95th percentile. This makes it very challenging to retain our top performing faculty and our advertised salaries make it difficult to recruit top faculty candidates during job searches.
- Our current facilities do not meet the needs of our current enrollment, so future growth is hindered by this. We stand to gain relatively little space with the new Fine Arts building.
- We are under-resourced for both faculty and staff positions as well as operating budget. For instance, a school of music our size typically has administrative assistants, budget analysts, recruitment/retention officers, advisors, a full-time associate director, and a facilities manager. We currently only have two administrative assistants and no other support staff.

STEPHEN F. AUSTIN STATE UNIVERSITY

Department of Mass Communication

OVERVIEW

- As the media industry has changed, so, too, has the department. The academic unit has gone through several name changes from the Department of Communication to its current iteration, the Department of Mass Communication.

- With nearly a million dollars in inventory, the department embraces experiential learning opportunities for Lumberjacks that provide skills needed to compete in the 21st century media marketplace.

  1. **SFA-TV2 (Channel 2)** and **JackTVSFA,** our YouTube channel, provide students the opportunity to work at a television station and produce video programming that is broadcast 24/7 to the East Texas community and beyond.
  2. **KSAU-FM** is SFA's radio station airing student-produced programming to the East Texas region. Broadcasting at 90.1 FM, and regulated by the Federal Communications Commission, the radio station is staffed with news reporters, disc jockeys, production and promotion assistants, and sports reporters who are all SFA students. The radio station also streams online beyond the East Texas region.
  3. **The Pine Log** newspaper and the **Stone Fort** yearbook provide SFA students with experience in multimedia journalism. The Pine Log reaches more than 12,000 students and 600 faculty. SFA mass communication majors work as editors and reporters for both media outlets.
  4. **Multimedia Labs**, with a total of 55 computers and media industry software, these tools are used to teach students how to work in advertising, public relations, social media and multimedia journalism. Students work with East Texas businesses to create advertising and public relations campaigns, as well as social media accounts.
  5. Six **editing suites**, with state-of-the-art video and audio editing software are utilized to teach students how to produce programming for on-air broadcasting.
  6. Students conduct **internships** across the nation, but particularly are attracted to the Dallas and Houston media markets, which are the fifth and eighth largest media markets in the nation, respectively.
  7. **Study abroad** offers students an opportunity to experience international media and different cultures. The **Meet the Media** class has traveled with students to England, France, Germany, Belgium and the Netherlands visiting media outlets and engaging in cultural experiences.

- The department has nine full-time professors and one staff member.

PARTNERSHIPS

- The department has partnerships with and offers courses for students in five of the university's six academic colleges: sports business (Nelson Rusche College of Business), nursing (College of Sciences and Mathematics), agricultural communication (Arthur Temple College of Forestry and Agriculture), multidisciplinary studies (College of Liberal and Applied Arts), and human sciences (James I. Perkins College of Education).
- Prior to COVID-19, Media Day brought professionals to campus to share with students how to compete in the job market.
- Created a mentoring program for SFA students that led to full-time employment upon graduation. This partnership was with Raycom Media (now Gray Television) which owned television and radio stations in 44 media markets across 20 states and reached more than 15% of U.S. televisions.
- Recent in-class partnerships and campaign planning with local businesses: Naca Valley Vineyard, Fredonia Brewery, Red House Winery, Front Porch Distillery and Lumberjacks Care (Title IX Office)

DEGREES

Bachelor of Arts/Bachelor of Science Program

- Current enrollment: 186
- Program overhauled in 2012 to create Mass Media/Mass Communication major
- Top 20 undergraduate major at SFA
- Fourth largest major in the College of Liberal and Applied Arts
- 17th largest major at SFA
- Three concentrations:
  1. Broadcast journalism
  2. Advertising/public relations
  3. Social media
- Two minors:
  1. Mass communication
  2. Social media
- Social Media concentration is 100% online and marketed to graduates with an associate degree at community colleges who cannot move to Nacogdoches.
- From 2016 to 2020, the program's retention rate increased all but one year.
- There have been 571 degrees awarded from program since 2013.

Master of Arts Program (online)

- Program started in 2013
- Current enrollment: 35
- Top 10 graduate major at SFA campus
- Third largest master's degree in the College of Liberal and Applied Arts
- 10th largest master's degree at SFA
- Generalist degree in mass communication with three capstone projects:
  1. Thesis
  2. Media project
  3. Comprehensive exam
- Online program started in 2015
- Within four years of its creation, the degree experienced a 725% increase in enrollment.
- Due to the program being online, there are applications from across the state and nation.
- There have been 50 degrees awarded from this program since 2013.

FACULTY ACHIEVEMENTS

- Faculty members have edited/authored 13 books
- More than 15 faculty publications in the last five years
- More than 15 faculty conference presentations in the last five years
- One faculty member has been the recipient of two national book awards
- One faculty member was the recipient of two teaching awards (SFA Teaching Showcase) at the university level
- One faculty member was the recipient of two media production contest awards at the national level



STUDENT ACHIEVEMENTS

- Mass Communication students broadcast approximately six SFA home baseball games a year on KSAU-FM
- Mass Communication students have been the recipients of nearly 30 awards for student work produced for KSAU-FM and SFA-TV2 by the Texas Intercollegiate Press Association in the last five years
- Lumberjacks Make Great Media Professionals!
  - ◊ Hunter Sowards, anchor/reporter for KUSI-San Diego
  - ◊ Kelvin Davis, CNN newsource sales, Atlanta
  - ◊ Bridget Flanagan, executive producer at NBS News in New York City
  - ◊ Kara Sewell Parker, morning anchor WFAA Dallas
  - ◊ Aaron Butler, senior director WFAA Dallas
  - ◊ Mark Austin, morning anchor KSAT San Antonio
  - ◊ Kara McIntyre, disc jockey at the Buzz (iHeart Media) in Houston
  - ◊ Natalie Haddad, reporter KVUE Austin
  - ◊ Phyllis D'Eugenio, program director and midday personality KICT Radio Wichita, Kansas
  - ◊ Logan Ward, digital communications teacher, Chapel Hill High School
  - ◊ Meghan Reily, content creator for TikTok and Instagram


STEPHEN F. AUSTIN STATE UNIVERSITY
1923
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
- Information Technology Follow-Up Audit
- External Information Technology Follow-Up 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 head volleyball coach, head softball coach, head tennis coach, head soccer coach, head bowling coach, co head track/field coach, co head track/field and cross country coach, interim chief audit executive, general counsel, coordinator of board affairs/compliance, 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 interim president. (Texas Government Code, Section 551.074)


STEPHEN F. AUSTIN STATE UNIVERSITY
1923
Stephen F. Austin State University
Board of Regents
Meeting 357
July 25, 2022

Stephen F. Austin State University
Board of Regents
Meeting 357
July 24-26, 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

Administrators

Steve Westbrook
Damon Derrick
Jane Ann Bridges
Anthony Espinoza
Brandon Frye
Graham Garner
Rachele Garrett
Ryan Ivey
Michara DeLaney-Fields
Gina Oglesbee
Lorenzo Smith
Jill Still
Charlotte Sullivan

Enrollment Management

Board of Regents
July 24-26, 2022

H. Rachele Garrett, Interim Executive Director of Enrollment Management
Karyn Hall, Institutional Research Director
Kimberly Morris, Director of Enrollment Communications and Strategy
Emily Jefferson, Director of Undergraduate Recruitment

STEPHEN F. AUSTIN
STATE UNIVERSITY
NACOGDOCHES, TEXAS

Board of Regents Meeting – July 24 – 26, 2022
Talking Points: Academic Affairs, L. M. Smith
(Five Minutes)

Selected focus areas for increasing revenue and decreasing expenses:

1. Academic Programs
    a. Most are profit centers. Most of those that are not profit centers are relatively small.
    b. Low producing programs are being addressed.
    c. Investment in high-producing programs is a struggle.
    d. Small sections are being more closely monitored.
    e. Compliance with QEP, etc: Possible missed opportunities.
2. Centers
    a. Continuing Education with focus on micro-credentials is coming.
    b. CARRI continues to evolve positively.
3. Retention
    a. Advisors continue to be key.
    b. Offices in Lumberjack Learning Commons (LLC) will continue to be key.
4. Matriculation
    a. Graduate Student Support

Office Of Diversity, Equity and Inclusion

Campus Climate Survey Results
Board of Regents Presentation 2022

STEPHEN F. AUSTIN STATE UNIVERSITY

Overview

- Key Objectives
  - Understand what current students, administrators, faculty, and staff are satisfied or dissatisfied by as members of the SFA community.
  - Identify how students and employees view diversity, equity, and inclusion on campus in terms of academics, social interactions, and the general campus environment.
  - Ascertain what the college should focus on regarding future diversity, equity, and inclusion efforts.

Overview

- Survey Administration and Survey Sample
  - The survey was administered online in February and March 2022 using the Qualtrics platform.
  - Respondents were recruited via an SFA-provided contact list. (Relevant roles groups are students, faculty, staff, and administrators.)
  - The analysis includes a total of 856 respondents following data cleaning.
  - The data supplement includes responses broken down by role, race/ethnicity, gender, and disability categories.

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Methodology

- Survey Instrument
  - Members of the Campus Climate Steering Committee working groups, Institutional Research, Deans, various faculty members and the President's cabinet reviewed several drafts of the initial survey.
  - It was also vetted to satisfy questions for campus climate, student satisfaction/achievement, and university strategic plan all of which were contextually specific for SFA.
  - The final university-wide survey instrument contained 56 questions, including 53 quantitative questions and three open-ended questions for respondents to provide commentary.
- Incentives
  - As an incentive for completing the assessment, eligible members of SFA community were offered the following: students- $10.00 gift card, random drawing for staff members (i.e., parking pass, football season tickets, 3 month recreation membership), and $2500.00 scholarship for the college that had the highest percentage of respondents.

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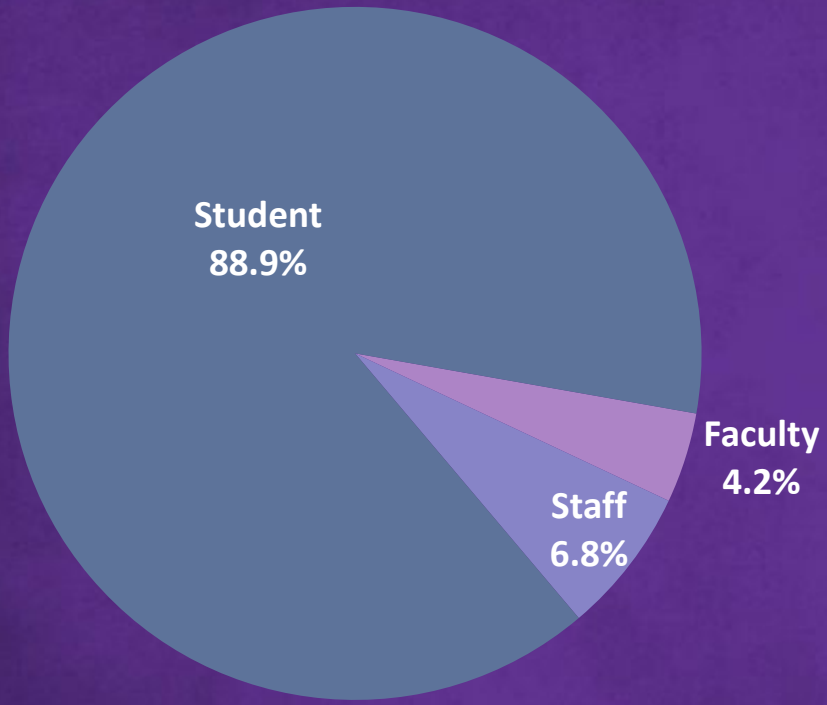
Summary

- In spring 2022, almost 12,000 eligible members of the SFA community were invited to share their thoughts, experiences and concerns about campus in the university's Campus Climate Survey. Respondents received a invitation via email from Hanover Research that contained the URL link to the survey instrument.
- Eight hundred and fifty-six (856) clean and complete surveys were returned for an approximate overall response rate of 7%. (The last three student satisfaction survey response rates average = 9%).
- Of respondents, 44% (*n*=374) were students (undergraduate and Graduate), 29% (*n*=247) were staff respondents, 24% (*n*=204) were faculty respondents and 4% (n=31) were administration respondents.

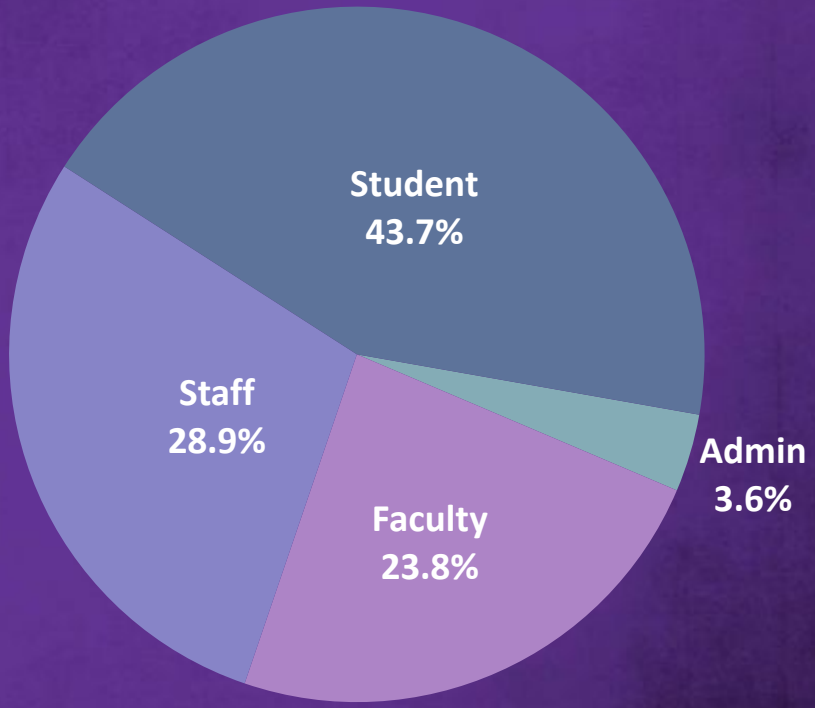
STEPHEN F. AUSTIN STATE UNIVERSITY

Relationship to SFA

All SFA

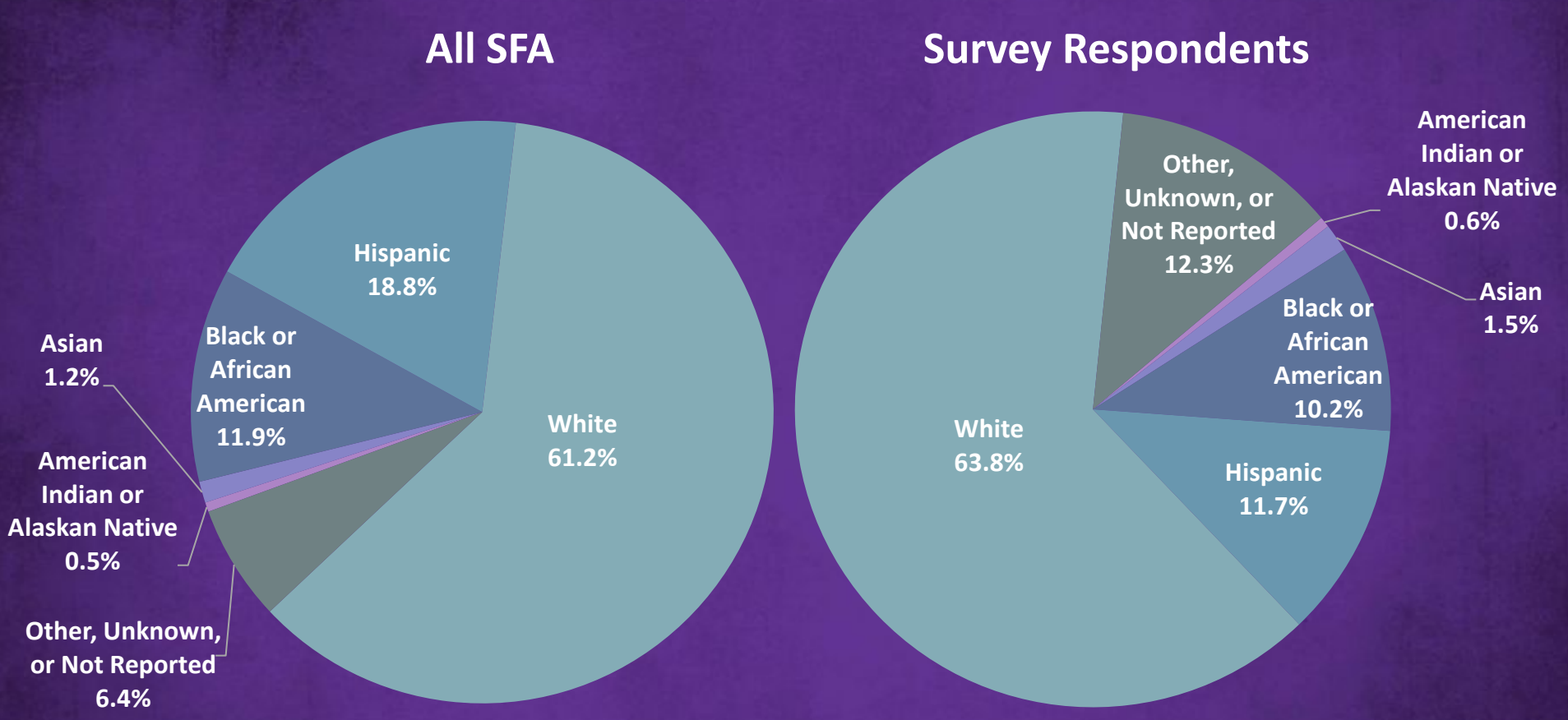


Survey Respondents



STEPHEN F. AUSTIN STATE UNIVERSITY

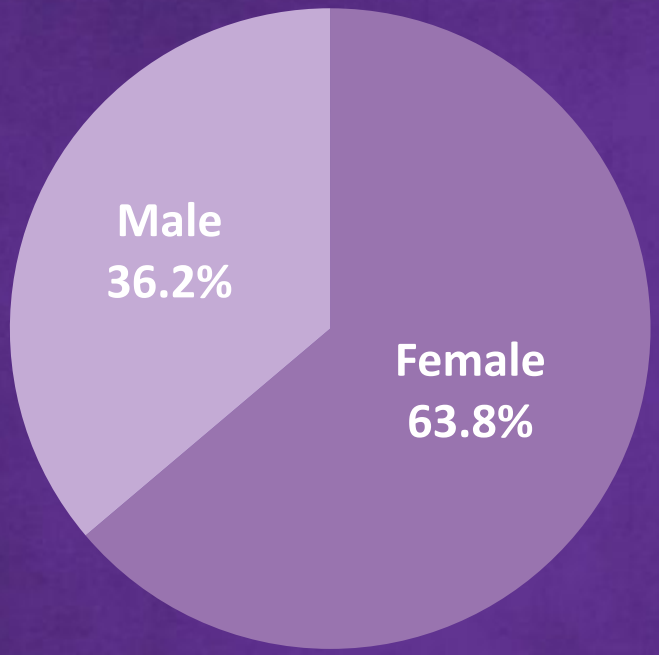
Demographics – Race/Ethnicity



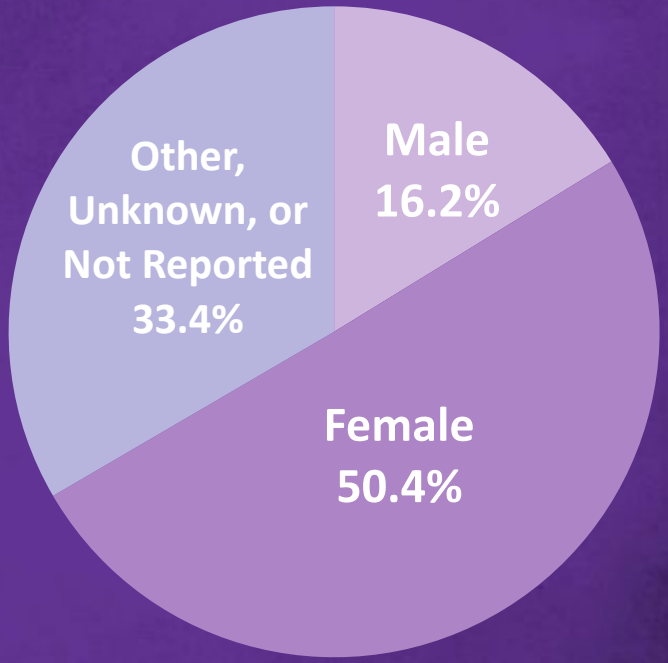
STEPHEN F. AUSTIN STATE UNIVERSITY

Demographics - Gender

All SFA

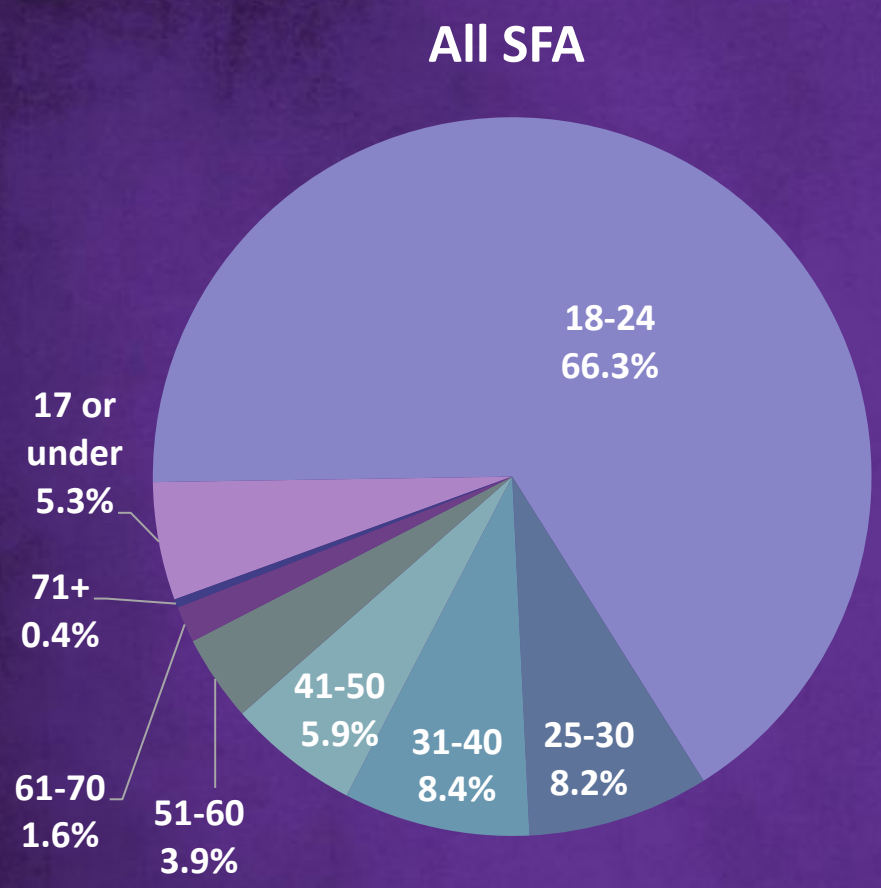


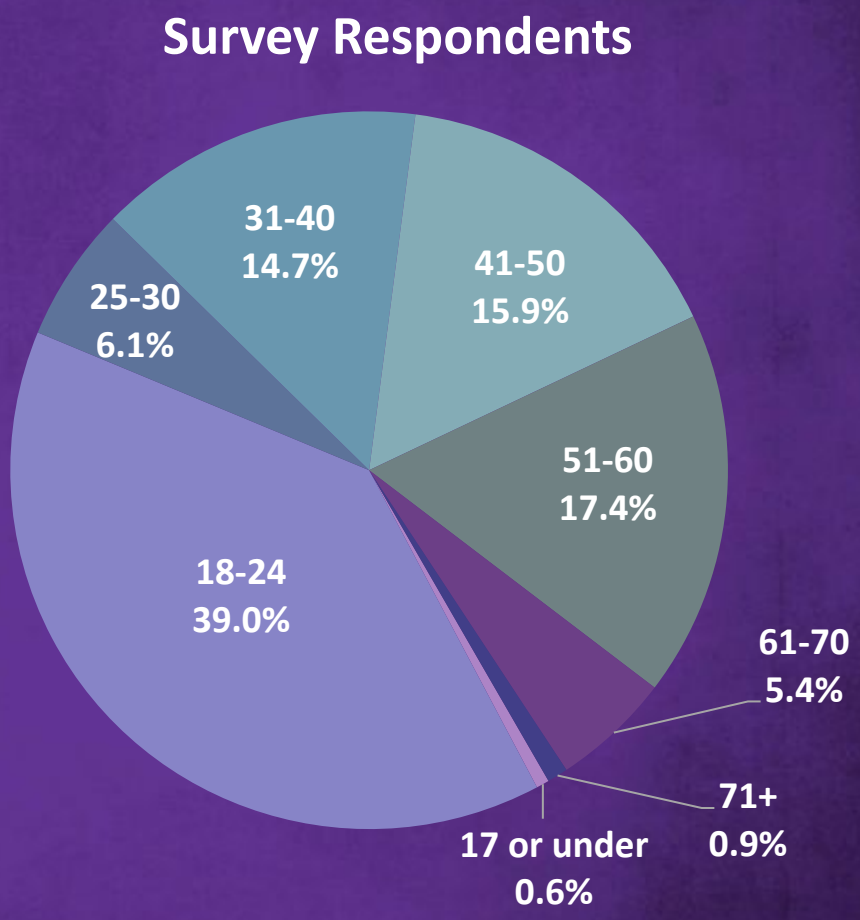
Survey Respondents



STEPHEN F. AUSTIN STATE UNIVERSITY

Demographics - Age





STEPHEN F. AUSTIN STATE UNIVERSITY

Diversity, Equity and Inclusion on Campus

- *Atmosphere*
  - Overall, the SFA community general feelings on campus were broadly positive. Most SFA community members feel that they are learning, welcome, connected to their peers, respected, and valued at SFA, and most feel a collective sense of community.
  - However, results from the survey also reflected challenges from historically underrepresented and marginalized groups which responses were less favorable.

DEI Importance and Support

- SFA stakeholders overall indicate that diversity, equity, and inclusion (DEI) are important to program and campus leaders, and that SFA fosters DEI culture at the program and institutional levels.
  - 80% of the survey respondents agree that it is important leaders within their program consider diversity, equity and inclusion.
  - More than 80% of survey respondents feel very supported within their program and as an institution at-large that we foster a culture of diversity, equity and inclusion.

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Learning From DEI

- The majority of student respondents believe learning about DEI will help them in their personal and professional interactions, and most would like to learn more through university-associated opportunities.
- Student feel that learning about DEI will assist them in future career and after graduation as well as connecting with their peers.

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Resources, Safety, and Priorities

- *Harassment and Discrimination*
  - Most members of the SFA community know how to report incidents of harassment or discrimination and feel comfortable doing so.
  - Only a minority of respondents feel confident that reporting harassment or discrimination would not negatively affect them professionally or that SFA responds appropriately to such reports.

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Resources, Safety, and Priorities

- *Feelings of Safety*
  - Most SFA community members report feeling safe at SFA, knowing about safety resources and knowing how to contact the University Police Department for assistance.
- *Future Priorities*
  - When asked what improvements SFA should prioritize, over three-quarters of respondents somewhat or strongly agreed that it should focus on ensuring a welcoming and safe environment (83%) and that high-quality resources are available for students of diverse backgrounds (77%).

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Resources, Safety, and Priorities

- *University Resources*
  - SFA students identify assistance with financial aid and mental health care counseling as top university resources from which they currently would benefit.

Sexual Violence and Unwanted Sexual Conduct

- *Process Awareness*
  - SFA community members are aware of the resources and reporting procedures related to incidents of sexual violence on campus.
  - The majority feel protected from potential retaliation.

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Diversity and Inclusion Statement

At Stephen F. Austin State University, our commitment to diversity and inclusion is more than words – it is actions. We believe diversity and inclusion are keys to promoting more engaged individuals locally and globally. We at SFA are committed to amplifying a campus culture that nurtures belonging and embraces similarities while celebrating that every Lumberjack will be different. Those differences are valued, acknowledged and supported purposefully.

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Recommendation #1

- Address the reasons why some faculty and staff perceive that reporting harassment or discrimination would negatively affect them professionally. Almost two-fifths (39%) of faculty and staff respondents somewhat disagree or strongly disagree that they feel confident that reporting harassment or discrimination at SFA would not negatively affect them professionally.

- *SFA should seek to mitigate these concerns by improving its reporting processes and awareness thereof. It may also choose to pursue in-depth interviews with faculty and staff who express these opinions to better comprehend the obstacles they face.*

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Recommendation #2

- Consider how to make SFA's confidential resources and formal procedures related to reporting incidents of unwanted sexual contact on campus more accessible to the most vulnerable SFA community members. Awareness of these resources is generally high among the campus community, but more than half of respondents who indicate that they experienced an incident on campus in the past year say that they used neither the university's confidential resources or its formal procedures to report the incident(s).

- *SFA should seek to determine how it can make these resources more available in times of need to better support these community members.*

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Recommendation #3

- Focus on creating a more inclusive atmosphere for political affiliation and philosophy to be shared. Political affiliation or philosophy was the only aspect of identity that a majority of respondents did not agree that SFA respects (49%), and is the most-cited aspect of identity for which respondents express feeling most singled out in a negative context (21%).

- *Fostering an environment in which SFA students, staff, and faculty feel that their views and opinions are more respected could increase the sentiment of diversity, equity, and inclusion (DEI) at the college.*

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Inclusion, Diversity and Excellence Action Plan (IDEA)

- *Core Principles*
  - Climate and Community
  - Access and Success
  - Accountability and Justice

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Inclusion, Diversity and Excellence Action Plan (IDEA)

- *Overall Goals*
  - Cultivate a diverse and inclusive community that provides a sense of belonging and opportunities for growth.
  - Identify and address systematic challenges and barriers to recruitment, retention and completion for underrepresented and underserved populations.
  - Assess and align institutional culture with university values and policies that promote equity and justice.

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Inclusion, Diversity and Excellence Action Plan (IDEA)

- *Action Items*
  - Implement the Inclusive Excellence Advisory Group
    - Focus groups will be selected and implemented by the Inclusive Excellence Advisory Group.
    - Focus group members will be selected biannually.
    - Advisory Group will include members across divisions.

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Inclusion, Diversity and Excellence Action Plan (IDEA)

- *Climate and Community*
  - Inspire and facilitate cross-campus collaborations that connect students, faculty, staff and community members.
  - Develop and implement intentional programming to foster opportunities for connection.
  - Explore and establish funding resources for DEI strategic and operational initiatives.

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Inclusion, Diversity and Excellence Action Plan (IDEA)

- *Access and Success*
  - Increase awareness of and eliminate equity gap.
  - Attract, retain and support a diverse faculty, staff and student body with the goal of reflecting the shifting of Texas demographics.

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Inclusion, Diversity and Excellence Action Plan (IDEA)

- *Accountability and Justice*
  - Build institutional capacity to implement equitable and inclusive practices.
  - Track, measure, assess and report progress for campus climate.
  - Create and revise policies to incorporate DEI values.

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Questions?



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Academic and Student Affairs Committee

ADDITIONAL CURRICULUM CHANGE FOR 2022-23

Explanation:

The Department of Computer Science requests to change the CIP code for the Master of Science in Cyber Security. A CIP code is a six-digit number used by the United States Department of Education and the Texas Higher Education Coordinating Board to identify academic degree programs. When the MS in Cyber Security was created, there were a limited number of CIP codes for identifying computer science degree programs. Since that time, the field has greatly diversified, and cyber security has become its own branch of computer science with multiple CIP codes for identifying different types of cyber programs. SFA's program is more investigatory than policy based, making it a superior program that should qualify as a STEM program. However, its current CIP code is more appropriate to policy based cyber programs and excludes STEM classification. Cyber programs classified as STEM can attract more international students and are competitive for more grant funding opportunities. Therefore, the department needs to update the CIP to reflect the MS in Cyber Security's true nature as an investigatory program.

Recommendation:

It is recommended by the administration that the Board of Regents approve the curriculum change to the MS in Cyber Security to be effective Fall 2022.

CHARTWELLS AGREEMENT AMENDMENT/MOU

Explanation:

The University's Dining Services Program Master Services Agreement with Compass Group USA, Inc. by and through its Chartwells Division ("Chartwells") to provide food service on campus contains provisions that outline a material change to the agreement. Per the contract, a material change event occurs when a change in the contractual assumptions as defined in the original scope of work results in a variance of 10% or more to Chartwells' net financial return.

Chartwells has submitted notice of a material change event based on a variance of 14.8% in Chartwell's net financial return over the past year compared to the assumption contained in the original scope of work. This variance was created by a smaller number of meal plan subscribers than projected.

After review by university and Chartwells officials, the parties propose suspending the Innovation Fund for year one of the contract (September 1, 2021 through September 30, 2022) as remediation of the material change event, as outlined in the attached Memorandum of Understanding (MOU).

Recommendation:

The administration recommends that the President be authorized to sign the attached MOU between the university and Compass Group USA, Inc. by and through its Chartwells Division suspending the monthly accrual of 2.7% Net Sales towards the Innovation Fund for year one of the agreement (September 1, 2021 through September 30, 2022).

HOLIDAY SCHEDULE FOR 2022-2023

Explanation:

Fourteen holidays are allowed by the state for 2022-2023. The following schedule will allow SFA to be closed for three working days at Thanksgiving, six working days during Christmas, Martin Luther King, Jr Day, five working days during Spring Break, Memorial Day, Juneteenth, and Independence Day which totals 18 days. Employees will be required to take two days of paid leave on December 29 and 30, and two days of paid leave on March 9 and 10.

November 23 - 25	Thanksgiving Break
December 23 - January 1	Christmas/Winter Break
January 16	Martin Luther King, Jr. Day
March 6 - 10	Spring Break
May 29	Memorial Day
June 19	Juneteenth
July 4	Independence Day

Offices scheduled to be available: Admissions, Financial Aid, Registrar, Student Business Services, Residence Life, and University Police Department

Recommendation:

The administration recommends approval of the holiday schedule for 2022-2023 as presented.

LEARNING MANAGEMENT SYSTEM RENEWAL

Explanation:

SFA uses Brightspace by D2L Ltd (Desire2Learn) as its learning management system (LMS). An LMS is a software application for the administration, documentation, tracking, reporting, and delivery of educational courses or supplemental course materials online. The cloud-based system allows secure access to course materials for students, faculty, and employees of SFA. Functions of the system include course creation, lesson management, testing, grading, and communication. In addition, the system provides predictive analytics, student success tracking, adaptive learning, and added support. We could not offer distance education courses without the LMS.

The current contract with D2L Ltd expires on December 17, 2022. The Center for Teaching & Learning assessed the potential impact of changing LMS vendors and noted alternatives available to D2L Ltd. The Distance Education Committee voted to renew with D2L Ltd.

The five-year contract totals $1,030,368.30 and requires annual payments of $206,073.66.

Recommendation:

The administration recommends to contract with D2L Ltd for a learning management system and associated service and maintenance costs at an annual cost of $206,073.66 for a period of five years, through December 17, 2027, at a cost not to exceed $1,030,368.30. As the LMS is cloud-based, HEF funds will be used for the purchase. The president is authorized to sign the associated contract and purchase order(s) in accordance with policy 1.4, Items Requiring Board of Regents Approval.

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:

Accessibility of Electronic Information Resources 16.9
Advanced Placement Guidelines 6.5
Animals on University Property 13.2
Authority to Act in the Absence of the President 2.4
Children in the Workplace 13.15
Compliance with the Americans with Disabilities Act and the ADA Amendments Act 2.5
Comprehensive Scholarship Administration 3.31
Grievance and Appeals 11.15
Intellectual Property 9.4
Interlibrary Loan Services 4.11.1
Library Borrowing 4.11.2
Library Non-Monetary Gifts 4.11.3
Military Service Activation 6.14
Missing Student Notification 13.13
Outside Employment 11.19
Parking and Traffic Services 13.14*
Policy Development and Format 1.6
Reasonable Workplace Accommodation for Disabilities 11.22
Satisfactory Academic Progress for Financial Aid Recipients 6.16
Second Baccalaureate Degrees 6.18
Small-Size Classes 7.26*
Student Code of Conduct 10.4
Texas Comprehensive Research Fund 8.10
Title IX 2.13

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

13.14 – Parking Services

7.26 – Course Enrollment

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STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Accessibility of Electronic Information Resources

Policy Number: 16.9

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: ITS

Purpose of Policy (what does it do): Establishes standards for electronic and information resources (EIR) including: software applications and operating systems; telecommunication products; video and multimedia products; self-contained closed products; desktop and portable computers; and procurement of these products as required by DIR.

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: Revised to allow for a temporary appointment of an Electronic Accessibility Coordinator.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Anthony Espinoza, Chief Information Officer
Damon Derrick, General Counsel

Accessibility of Electronic Information Resources

Original Implementation: October 18, 2010

Last Revision: ~~July 23, 2019~~ *July 26, 2022*

Stephen F. Austin State University is committed to making electronic information resources accessible to all users. Chapter 213 of the Texas Administrative Code (TAC) establishes standards for electronic and information resources (EIR) including: software applications and operating systems; telecommunication products; video and multimedia products; self-contained closed products; desktop and portable computers; and procurement of these products.

In order for EIR products or service to be considered accessible, the product should offer an alternate format or method for providing information, including product documentation, to people with disabilities. Additionally, it should work with assistive technology commonly used to increase, maintain, or improve functional capabilities for individuals with disabilities.

Electronic Accessibility Coordinator (EAC)

The university president or university information resource manager *(IRM)* shall designate an Electronic Accessibility Coordinator to develop, support, and maintain EIR accessibility rules, standards, and procedures, and assist university personnel with relevant training information for EIR accessibility. The coordinator will chair the Electronic Accessibility Team (EAT) and may be contacted at accessibility@sfasu.edu. *The IRM may appoint a temporary Electronic Accessibility Coordinator in the event the Electronic Accessibility Coordinator vacates the role until a permanent Electronic Accessibility Coordinator is appointed. The temporary appointment may not exceed 30 days.*

Compliance

For compliance review purposes, all EIR vendors/companies must provide accessibility information in accordance with state law.

Web Accessibility

All official and affiliated university Web pages intended for public viewing shall be accessible to, and usable by, all users and compliant with TAC Chapter 206.70, unless an exception is approved by the president, or an exemption has been made.

Web developers shall follow guidelines established by Chapter 206 of the TAC, Section 508 of the Rehabilitation Act, as amended, to the extent required under law, and criteria established by university procedures to improve the accessibility of all university websites.

Web Accessibility Link

Each university website that provides entry to members of the public must contain a "Web Accessibility" link to the Electronic Accessibility Site. This site contains the university's Web accessibility policy and contact information for the university's EAC.

Suggestions and Concerns

Existing website compliance issues can be addressed to the EAC by sending name, contact information, the nature of the accessibility problem, and the website address or specific Web page of concern to accessibility@sfasu.edu.

Grievances

If a user has a complaint about the accessibility of Stephen F. Austin State University websites, or access to other electronic equipment, he/she should notify the EAC at accessibility@sfasu.edu. The EAC, or designee, will contact the complainant regarding the issue and attempt to resolve the complaint. The complainant is expected to cooperate with the EAC and appropriate university personnel in the process of determining a resolution. The EAC will make recommendations to the relevant university departments and officials responsible for making electronic and information resources accessible.

Additional Information and Resources

Additional information about accessibility programs in Texas is available from the Governor's Committee on People with Disabilities, Information Technology Industry Council (ITI).

EIR Category	Technical Accessibility Standards
Software Applications and Operating Systems	1 TAC §213.30
Websites	1 TAC §206.70 Web Content Accessibility Guidelines (WCAG) 2.0, Level AA
Telecommunications Products	1 TAC §213.31
Video and Multimedia Products	1 TAC §213.32
~~Self-Contained, Closed Products~~*Hardware*	1 TAC §213.33
~~Desktop and Portable Computers~~	~~1 TAC §213.34~~
Functional Performance Criteria	1 TAC §213.35
Support ~~Information, D~~*D*ocumentation *and Services*~~, and Support~~	1 TAC §213.36
Compliance Exceptions and Exemptions	1 TAC §213.37
Procurements	1 TAC §213.38
Accessibility Training and Technical Assistance	1 TAC §213.39
Accessibility Survey and Reporting Requirements	1 TAC §213.40
EIR Accessibility Policy and Coordinator	1 TAC §213.41

Cross Reference: ~~Purchase~~ *Procurement* of Electronic and Information Resources (17.16); University Website (15.10); ~~Web Accessibility Page;~~ 1 Tex. Admin. Code §§ 206.1-.2, .70-.75; 1 Tex. Admin. Code §§ 213.1-.2, .30-.41; Tex. Gov't Code §§ 2054.451-.465; Section 508 of the Rehabilitation Act, as amended, 29 U.S.C. § 794d; 36 C.F.R. 1194

Responsible for Implementation: Chief Information Officer

Contact for Revision: Electronic Accessibility Coordinator

Forms: Electronic Accessibility Exception Request Form Voluntary Product Accessibility Template (VPAT ®)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Advanced Placement Guidelines

Policy Number: 6.5

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: Provost and Executive Vice President for Academic 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 <u>each</u> 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

Advanced Placement Guidelines

Original Implementation: September 4, 1979
Last Revision: July ~~23, 2019~~*26, 2022*

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

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

To make revisions to course credit earned through AP, CLEP, and IB, academic units will submit recommendations through the dean to the Undergraduate Council's Curriculum Committee. An academic unit proposing a score of more than three (3) on a corresponding AP exam *or a score higher than the minimum score recommended by the American Council of Education on a corresponding CLEP exam* must submit a request to the provost justifying the need for a higher score. A request for a score higher than three (3) must include evidence that a higher score is needed to indicate the student's sufficient preparation for related, more advanced courses for which the lower-division course is a prerequisite.

Individual academic units may initiate an internal advanced placement program (i.e., a system that allows students to bypass certain courses). Academic units will submit requests via a memorandum to offer internal advanced placement programs through the dean of the college to the Undergraduate Council's Curriculum Committee for approval. Academic units will update their advanced placement programs as part of the university's general bulletin revision process.

Cross Reference: General Bulletin, Student Handbook and Activities Calendar~~,~~*;* Tex. Educ. Code § 51.968

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

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

Forms: SFA Advanced Placement Justification

Board Committee Assignment: Academic and Student Affair

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STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Animals on Univeristy Property

Policy Number: 13.2

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

Date of last revision, if applicable: 1/20/2020

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

Purpose of Policy (what does it do): Defines the categories of service animals, emotional support animals and recreational animals and outlines their level of presence permitted on campus and in campus facilities. Guidelines and responsibilties of the handler are also listed.

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: Disability services will be the clearinghouse and first-level approver of emotional support animals in on-campus housing. Second-level approver will be campus living (residence life).

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Carrie Charley, Executive Director of Campus Living, Dining, and Auxiliary Enterprises
Tiffany Rivers, Director of Disability Services
John Fields, Executive Director and Chief of University Police
Brandon Frye, Vice President of Student Affairs

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Office of the General Counsel

Jeremy Higgins, Director, Environmental Health, Safety & Risk Management
Damon Derrick, General Counsel

Animals on University Property

Original Implementation: Unpublished
Last Revision: ~~January 28, 2020~~*July 26, 2022*

The university seeks to uphold federal, state, and local laws and regulations; ensure the health and safety of its community; preserve the integrity of its grounds, buildings, and other property; and support a healthful educational environment that respects the rights of all individuals.

Service animals are welcome in all buildings on campus and may attend any class, meeting, or other event. Individuals with documented disabilities residing in university housing may request as an accommodation that an emotional support animal (ESA) be allowed to reside in the campus residence; however, ESA's are not permitted anywhere outside of the individual's assigned living space except as otherwise provided by this policy. Community members may take advantage of the several recreational areas on campus by walking ~~personal~~ animals and are allowed to do so within the guidelines set forth. Reasonable behavior is expected from the animals while on campus. If the animal exhibits unacceptable behavior *(ex. the animal that exhibits violent, uncontrollable, aggressive, or unhealthy behavior)*, the handler is expected to employ the proper training techniques to correct the situation.

~~Consideration of o~~*O*thers ~~may~~ *should* be ~~taken into account~~*considered* when providing for the maintenance and hygiene of service animals. Additionally, specific guidelines have been established concerning service and emotional support animals living in a campus residency environment.

Section I. Definitions
Section II. Service Animals
Section III. Emotional Support Animals
Section IV. Handler or Owner Responsibility
Section V. Residence Life and Food Service Guidelines
Section VI. Information and Appeals

Section I. Definitions

A. Handler:
A person with a disability using a service animal; a person who has received approval for an emotional support animal; or a person in possession of an animal for recreation on the university campus.

B. Service Animal:
Any dog, or miniature horse, that is individually trained to do work or perform tasks for the benefit of an individual with a disability, including a physical, sensory, psychiatric, intellectual, or other mental disability. Other species of animals, whether wild or domestic, trained or untrained, are not service animals for the purposes of this definition. The work or

tasks performed by a service animal must be directly related to the handler's disability. The crime deterrent effects of an animal's presence and the provision of emotional support, well-being, comfort or companionship do not constitute work or tasks for the purposes of this definition.

C. Emotional Support Animal:
An animal that provides emotional support or therapeutic benefits that alleviate one or more of the identified symptoms or effect of a person's disability; however, the animal is not required to be individually trained or certified to perform such task. Emotional support animals may also be referred to as "comfort animals," "companion animals," and "assistance animals" used to support individuals with mental or emotional disabilities. These animals may provide crime deterrent effects or emotional support, well-being or comfort.

D. Recreational Animal:
A domestic animal used for sport, companionship, or other non-service/assistance functions. Recreational animals are not allowed inside university facilities. ~~An~~ *E~~e~~xceptions would be small birds in cages and fish in a 10-gallon or less aquarium.

E. Unauthorized Animal:
Any animal not controlled by leash or harness, unless the animal is a service animal and the handler is unable because of disability to use a leash or harness or if the leash or harness restricts the service animal to function appropriately as such. Also, any animal that exhibits violent, uncontrollable, aggressive, or unhealthy behavior, including service and emotional support animals.

Section II. Service Animals

A. University Responsibility

1. Allow service animals to accompany the handler to all areas of the facility where the handler is normally allowed to go. A handler may not be segregated from other similar members of the campus community except where there is real danger to the animal or where the natural organisms carried by the service animal would adversely affect research. Exceptions to the exclusions will be reviewed on a case-by-case basis *by the appropriate university authority*.
2. Not to pet, feed, or deliberately startle/disturb a service animal.
3. Not to separate, or attempt to separate, service animals from their handlers.
4. Provide handlers living in campus housing with an area for relieving and grooming their animals.

B. Inquiries

1. When it is not obvious what service an animal provides, the handler may be asked:

a. If the animal is a service animal required for a disability; and
b. What work or task the animal has been trained to perform.

2. Staff may not ask about the person's disability, require medical documentation, require certification of the dog's training, or ask that the dog demonstrate its ability to perform the work or task.
3. Use of miniature horses as a service animal will be reviewed based on the inquiries and exceptions listed below and allowed by law.

C. Service Animal in Training

1. Individuals who desire an accommodation for a service animal in training must ~~also~~ abide by all relevant provisions of this policy.
2. An animal being trained to be a service animal will be treated as a fully trained animal when accompanied by a handler and identified as such.

D. Exceptions

1. Service animals may be denied or removed if:
   a. The animal is out of control and its handler does not take effective action to control it. The service animal is considered an extension of the handler and thus, is subject to the same code of conduct as the handler.
   b. The animal is not housebroken (i.e., trained so that, absent illness or accident, the animal controls its waste elimination).
   c. The animal poses a direct threat to the health or safety of others that cannot be eliminated or reduced to an acceptable level by reasonable accommodation.

Section III. Emotional Support Animals

A. Inquiries

1. Requests for an emotional support animal (ESA) may be made by individuals with documented disabilities residing in university housing.
2. If the animal does not meet the definition of service animal, the individual must engage in a reasonable accommodation request with *Disability Services and Campus Living (*Residence Life*)* ~~or Disability Services~~ staff.
3. *Disability Services and Campus Living*~~Residence Life or Disability Services~~ may ask individuals who have disabilities that are not readily apparent or known to the university official to submit reliable documentation of a disability and their disability-related need for an ESA within the residence hall. The individual is not required to disclose medical information that is overly intrusive and invasive in order to receive an accommodation.
4. A person qualifies for reasonable accommodation if:
   a. The person has a documented disability;

b. The animal is necessary to afford the person with a disability an equal opportunity to use and enjoy the residence halls; and
c. There is an identifiable relationship between the disability and the assistance the animal provides.

B. Exceptions

1. Emotional support animals may be denied or removed if:
   a. The specific animal would impose an undue financial and administrative burden or would fundamentally alter the nature of a service or program.
   b. The specific animal in question poses a direct threat to the health or safety of others that cannot be reduced or eliminated by another reasonable accommodation; or
   c. The specific animal in question would cause substantial physical damage to the property of others that cannot be reduced or eliminated by another reasonable accommodation.
   d. The specific animal in question is not being cared for by the handler.

Section IV. Handler or Owner Responsibility

A. Authorized Animals

1. Handlers must abide by all state laws, Nacogdoches city ordinances related to animals in the city of Nacogdoches, and SFA guidelines, including by not limited to:
   a. All animals in the city must have a valid license and tag issued by the city of Nacogdoches at the Department of Animal Control. The license and tag must be reviewed annually.
   b. The handler is required to provide a collar or harness for the license and vaccination tags to be affixed. The handler shall see that the animal wears the collar and tags at all times.
2. The handler is liable for damages caused by the service animal, emotional support animal, or recreational animal.
3. The handler is responsible for the care and supervision of a service animal, emotional support animal, or recreational animal.
4. The handler must have full control of the animal at all times. Animals may not run at large; a leash or harness is required unless the handler is unable because of disability to use a leash or harness or it restricts the animal's ability to function properly.
5. Disturbing animal vocalization must be kept to an absolute minimum.
6. Handlers are responsible for relieving animals in designated locations and must ensure immediate clean-up and proper disposal of animal waste.
7. The handler must observe *on-campus* housing and food service establishment guidelines.
8. All service/emotional support animals must have an annual clean bill of health from a licensed veterinarian. The animal's cleanliness is mandatory in the campus environment.

9. Vaccinations must be current and based on a veterinarian's recommendations, with records made available at time of request.
10. Daily grooming and occasional baths (at a vet or a family home) should be undertaken to keep the ~~service~~ animal's odor to a minimum.
11. Flea control is essential and adequate preventative measures must be taken. If a flea problem develops, it must be dealt with immediately and in an effective manner. In the event a flea problem is not eliminated by the handler, the university will exterminate the *applicable* property and assess the handler the standard extermination fee.

B. Unauthorized Animals

1. In the event an unauthorized animal is discovered on or in university property, except residence halls, the University Police Department should be notified immediately. The responding officer may take appropriate action, up to and including ordering the handler or owner to remove the unauthorized animal from university property, or by contacting the Nacogdoches Animal Control Officer who will take possession of the animal and remove it from campus.
2. In the event an unauthorized animal is discovered in a university residence hall, the appropriate residence hall staff shall be notified immediately. The residence hall staff will attempt to contact the owner/handler of the unauthorized animal for removal. If the owner/handler cannot be contacted, the residence hall staff will contact the University Police Department for removal as indicated in this policy.

Section V. Residence Life and Food Service Guidelines

1. Occupants of university housing are not permitted to keep pets, except birds in cages and fish in aquariums.
2. Full-time professional live-in staff may have fish living in an aquarium (10-gallon maximum) and birds in a cage. In addition, upon executing an approved live-in staff pet agreement, the staff members may have either one (1) cat or one (1) dog.
3. Service animals are permitted to accompany the individual with a disability to all areas of the facility where persons are normally allowed to go.
4. Emotional support animals are not permitted anywhere outside of the individual's assigned living space; exceptions may be made on a case-by-case basis from Residence Life or Disability Services.
5. Service/emotional support animals should be kept under control. Animals should always be on a leash except when in the student's room with the door closed unless the leash restricts the service animal's ability to function appropriately.
6. Animal food should be kept in a covered storage container to deter pests.
7. An animal's paws must be kept off tables, trays, and food service counters at all times.

Section VI. Information and Appeals

Questions and concerns regarding the use of service/emotional support animals on university property should be directed to the ADA coordinator who serves as an advisor for procedures and access to programs and services.

For specific information regarding accessibility, refer to university policy 2.2, Accessibility for Persons with Disabilities. For specific information regarding resolution of disagreements, refer to university policy 6.6, Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities. For issues related to Discrimination, refer to university policy 2.11, *Nond*~~D~~iscrimination. ~~Complaints.~~

Cross Reference: 28 C.F.R. § 35.136 (2010); Nacogdoches, Tex., Rev. Ordinances ch.6, art. III, §§ 32-33 (2008); Accessibility for Persons with Disabilities (2.2); Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities (6.6); *Nond*~~D~~iscrimination ~~Complaints~~ (2.11)

Responsible for Implementation: Vice President *of*~~for~~ ~~University~~ *Student* Affairs, *Chief Diversity Officer*

Contact For Revision: Chief of University Police, Director of Disability Services, and *Associate* Director of Residence 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: Authority to Act in the Absence of the President

Policy Number: 2.4

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

Date of last revision, if applicable: 10/28/2019

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Provides delegation of authority in the absence of the president.

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: Updated position titles.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Steve Westbrook, Interim President
Damon Derrick, General Counsel

Authority to Act in the Absence of the President

Original Implementation: February 23, 1978
Last Revision: ~~October 28, 2019~~ *July 26, 2022*

In the absence of the president the authority to act in his*/her* place is delegated in the following order, depending upon the presence of the individual on the campus:

1. Provost/*Executive* Vice President for Academic Affairs
2. Vice President ~~for~~ *of* ~~University~~ *Student* Affairs
3. Vice President for Finance and Administration
4. Vice President for University Advancement

The individual administrative officer acting under this delegation of authority is to handle administrative situations in accordance with the recognized operating procedures of the university ~~in the absence of the president~~. (The line of succession for emergency operations is outlined in the university's Emergency Operations Plan).

He/She may take such action as he/she deems necessary, dependent upon the circumstances of a particular situation, when the president cannot otherwise be reached to make such decisions. As soon as possible and practical, the president shall be informed of any decision or unusual incident and the action taken. No unusual or major decision embodying significant commitments on behalf of the university will be made without consulting the president.

Should the president be temporarily unable to perform his/her duties, the process for naming an acting president is contained within the Rules and Regulations of the Board of Regents.

Cross Reference: Rules and Regulations of the Board of Regents; Emergency Operations Plan

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs Committee

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Children in the Workplace

Policy Number: 13.15

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

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

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

Purpose of Policy (what does it do): The purpose of this policy, which applies to all Stephen F. Austin State University (SFA) employees, is to support the university's commitment to fostering a healthy balance between workplace obligations and family.

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: No changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Children in the Workplace

Original Implementation: July 23, 2019
Last Revision: *July 26, 2022*~~None~~

Purpose

The purpose of this policy, which applies to all Stephen F. Austin State University (SFA) employees, is to support the university's commitment to fostering a healthy balance between workplace obligations and family. The university welcomes young children and families to the campus while at the same time providing guidelines to protect the safety of children in the workplace and to maintain a professional workplace environment.

This policy is not intended to apply to situations including, but not limited to, children utilizing facilities that are open to the public and whose age is appropriate for them to be unsupervised; children attending special occasions that are employer-sponsored, scheduled during the regular work day and where attendance by children is encouraged; or children accompanying a parent or guardian during hours other than the official university hours as defined by university policy.

Definitions

Minor child is defined as any individual under the age of 13.

Caregiver is defined as a family member or friend who looks after a minor child in the stead of a parent.

General

SFA understands that visits by children in the care of its employees occur for a variety of reasons, however, the following principles apply:

1. Minor children remain the sole responsibility of the SFA employee that is the child's parent or caregiver including the supervision of the child while the child is on campus. No other SFA employee should be asked or expected to supervise a child while the employee is on university time.
2. The presence of the minor child cannot disrupt the workplace.
3. Minor children not participating in SFA sponsored activities are prohibited from areas where significant potential safety hazards or liabilities exist and where strict safety precautions are required. These areas might include, but are not limited to, storage rooms, equipment rooms, and certain athletic facilities such as training rooms, courts, fountains, swimming pools, playing fields, and laboratories.
4. Employees may not bring minor children to campus as a substitute for regular childcare.

Failure to Comply

The employee's supervisor may ask the employee to remove the minor child from the workplace. Continuous failure to comply with this policy could result in disciplinary action up to and including termination of employment. Disciplinary action will be in accordance with Policy 7.11, Faculty Code of Conduct, or Policy 11.4, Discipline and Discharge.

Cross Reference: Faculty Code of Conduct (7.11); Discipline and Discharge (11.4); Working Hours and Holidays (12.24)

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

Contact for Revision: Director of Human Resources

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Compliance with the Americans with Disabilities Act and the ADA Amendments Act

Policy Number: 2.5

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: Chief Diversity Officer

Purpose of Policy (what does it do): Outlines university intent to comply with federal laws protecting the rights of persons with disabilities and the measures taken to prohibit discrimination.

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: No changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Tiffany Rivers, ADA Coordinator
Michara DeLaney-Fields, Chief Diversity Officer
Damon Derrick, General Counsel

Compliance with the Americans with Disabilities Act and the ADA Amendments Act

Original Implementation: October 19, 1993
Last Revision: July ~~23, 2019~~*26, 2022*

~~The Americans with Disabilities Act and ADA Amendments Act of 2008 acknowledge the findings of congress that millions of Americans have one or more physical or mental disabilities. The legislation provides a comprehensive national mandate for the elimination of discrimination against individuals with disabilities.~~

~~It is the intent of the Board of Regents of~~ Stephen F. Austin State University ~~to~~ *will* comply with ~~both the letter and the spirit of~~ the Americans with Disabilities Act (ADA) and the ADA Amendments Act of 2008 (ADAAA), as well as the Rehabilitation Act of 1973 and other laws protecting the rights of persons with disabilities. Compliance measures should address the necessity to provide opportunities to qualified persons with disabilities in employment and in access to education, where this will not pose an undue burden or fundamentally alter the programs of the institution. ~~The board recognizes that compliance with the ADA and ADAAA requires increased awareness of all university employees and a commitment of institutional resources. Further, it is the intent of the board to continue this institution's strong commitment to meeting the special needs of individuals with disabilities, and that this commitment remain an integral part of the educational mission and service component of Stephen F. Austin State University.~~

~~It is the intent of this institution that ADA c~~*C*ompliance measures shall include the following:

- Diligently pursue the identification and elimination of physical, communication and attitudinal barriers to activities, programs, or services operated or sponsored by the institution, including employment, academic criteria, student and public services, and facilities.
- Implement procedures for raising awareness of the requirements of the ADA throughout the institution;
- Provide coordinated and timely response to requests from individuals with disabilities;
- Create a task force to support the efforts of an ADA coordinator and ensure continued sensitivity to special needs of individuals with disabilities.

~~University policy prohibits unlawful discrimination on the basis of race, color, religion, sex, age, national origin, disability, genetic information, citizenship, and veteran status. Additionally, the university prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression.~~

Definition:

Discrimination on the basis of disability includes:

- to limit, segregate, or classify a job applicant or employee in a way that may adversely affect opportunities or status because of the applicant's or employee's disability;
- to participate in a contract ~~which could~~*that has the effect of* subject*ing* an applicant or employee with a disability to discrimination;
- to use any standards, criteria or method of administration ~~which could~~*that* have the effect of discriminating on the basis of disability;
- to deny equal jobs or benefits because of a disability;
- to fail to make reasonable accommodations for known physical or mental limitations of an otherwise qualified individual unless it can be shown that the accommodation would impose an undue hardship;
- to use selection criteria which exclude individuals with disabilities unless the criteria are job related and consistent with business necessity; and
- to fail to use employment tests in a manner that ensures that the test results accurately reflect the applicants or employee's skills or aptitude for a particular job.

Cross Reference: Americans with Disabilities Act of 1990 (ADA), 42 U.S.C. §§ 12101-12213 (2000); ADA Amendments Act of 2008, Pub. L. 110-325; Rehabilitation Act of 1973, Pub. L. No. 93-112, 87 Stat. 355

Responsible for Implementation: ~~Vice President for University Affairs~~*Chief Diversity Officer*

Contact for Revision: ADA Coordinator

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Comprehensive Scholarship Administration

Policy Number: 3.31

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: Office of Financial Aid and Scholarships

Purpose of Policy (what does it do): Statuatory Compliance

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:

Provided definitions and updated language for clarification. Updated office name, responsible parties and cross references.

Reviewers:

Rachele Garrett, Director of Financial Aid and Scholarships
Erma Brecht, Executive Director of Enrollment Management
Jill Still, Vice President for University Advancement
Damon Derrick, General Counsel

Comprehensive Scholarship Administration

Original Implementation: November 2, 2015
Last Revision: July ~~23, 2019~~*26, 2022*

The university has designed these guidelines to ensure fair treatment for all eligible students who apply for scholarship assistance, as well as the effective and compliant administration of scholarships. This policy does not apply to unaffiliated organizations who control the funding and selection of scholarship applicants.

Definitions:

1. *Student means a person who is currently enrolled at the university, or who is accepted for admission or readmission to the university, or who has been enrolled at the university in a prior semester and is eligible to continue enrollment.*
2. *Office of Financial Aid and Scholarships is the administrative area, which manages scholarships on behalf of the university.*
3. *Financial Assistance ~~&~~and Scholarship committee consists of representation from each of the academic colleges, and various other staff positions across campus selected by the Office of Financial Aid and Scholarships. The provost and executive vice president of academic affairs appoints academic college representatives.*
4. *Endowed Scholarships have been created using donor funds and have a scholarship agreement between said donor and the university and/or SFASU Foundation that designates the terms and qualifications to award that scholarship.*
5. *Entity is any university unit or affiliated organization that establishes a scholarship for students.*
6. *FOP is the abbreviation for university Fund, Organization and Program numbers.*

~~Scholarships are one form of financial aid. Stephen F. Austin State University (SFA) s~~Scholarships are provided through two primary sources: ~~SFA~~ *the university* and the SFASU Foundation. ~~The scholarship team, within the Office~~*The Office* of ~~Student~~ Financial ~~Assistance~~*Aid and Scholarships*~~,~~ is responsible for the oversight of the university's comprehensive scholarship program and acts as a liaison between academic departments, the SFASU Foundation, ~~the Office of Student Financial Assistance~~ *Aid and Scholarships* and ~~the Office of Enrollment Management~~*Admissions*. ~~The scholarship team~~*The Office of Financial Aid and Scholarships* will set deadlines, ensure departments adhere to scholarship guidelines, and verify funds are spent accordingly. This will ensure compliance with ~~the funding sources~~*scholarship* agreements and that institutional, state and federal regulations are met.

~~An outside entity not affiliated with the university who controls the funding and selection of applicants is not subject to this policy. Any funds received in this manner will be processed according to donor requirements and treated as an outside scholarship.~~

Scholarship Database System

The Office of ~~Student~~ Financial ~~Assistance~~ *Aid ~~&~~and Scholarships* ~~is the primary owner and~~ is

responsible for the management and maintenance of the scholarship database. The database provides a consolidated source for scholarship criteria, electronic scholarship applications, committee assignments, *available scholarship disbursement amounts,* and reports. *Endowed scholarships will be entered into the database.* ~~For any endowed s~~Scholarships ~~award that is provided to an SFA student, it must be~~ *that are not endowed may be entered into the database at the discretion of the Office of Financial Aid and Scholarships.* ~~documented in the scholarship software database.~~

Scholarship Establishment

~~It is the responsibility of the~~*Each* entity ~~to~~ coordinate*s* with the ~~scholarship team~~*Office of Financial Aid and Scholarships* ~~and~~ to ensure ~~that both the donor and the university objectives are met~~*correct scholarship management*. The entity ~~is responsible for sending all required~~*is required to submit the following: the FOP number, scholarship agreement, the intent of the scholarship and the eligibility date of scholarship disbursement.* ~~documentation to t~~*T*he Office of ~~Student~~ Financial ~~Assistance~~ *Aid and Scholarships* ~~when a scholarship is created or modified. The scholarship team is responsible for maintaining procedures to monitor scholarship funds.~~*develops and maintains procedures to monitor scholarships.*

Scholarship Processing

Any student wishing to receive *an endowed* scholarship ~~awards~~ must complete the official SFA scholarship application. ~~All students awarded scholarship funds will be required to complete a Conflict of Interest and Disclosure form. This information is recorded in the scholarship database and is accessible to the committees in order for them to make the candidate selection. It is the responsibility of the Office of Student Financial Assistance to coordinate all access and provide the procedures to the scholarship committee.~~

~~A post disbursement report is generated and sent to the appropriate parties. This report will contain scholarship recipient data. This report is used as notification of the scholarship disbursement.~~

~~The account manager of the scholarship program will determine whether funds should be repaid if the student withdraws from the university or no longer meets the eligibility criteria. In such situations, the account manager must notify the Office of Student Financial Assistant whether to charge back the funds and issue a bill to the student.~~*If there are no qualified applicants, the committee may select an otherwise eligible candidate.*

All students offered scholarships are required to complete a Conflict of Interest and Disclosure form.

Distribution of Scholarship Funds

To maximize scholarship- funding and aid in the recruiting ~~of top students,~~ *and retention of students, a pre-distribution form must be submitted to the Office of Financial Aid and Scholarships, by the responsible committee/department. –This will constitute recommendation and authorization of scholarship disbursement*~~all university scholarship awards must be distributed (fully awarded) to the best of the ability of the responsible department. In order for a scholarship award to be made all documentation must be provided to the Office of Student Financial Assistance and a pre-disbursement form completed.~~

A post disbursement report is generated and sent to the appropriate academic area as notification of

the scholarship disbursement. -The account manager of the scholarship FOP will determine whether funds should be repaid if the student withdraws from the university or no longer meets the eligibility criteria. In such situations, the account manager must notify the Office of Financial Aid and Scholarships whether to charge back the funds and issue a bill to the student.

~~**Scholarship Processing**~~

~~Any student wishing to receive scholarship awards must complete the official SFA scholarship application. All students awarded scholarship funds will be required to complete a Conflict of Interest and Disclosure form. This information is recorded in the scholarship database and is accessible to the committees in order for them to make the candidate selection. It is the~~

~~responsibility of the Office of Student Financial Assistance to coordinate all access and provide the procedures to the scholarship committee.~~

~~A post-disbursement report is generated and sent to the appropriate parties. This report will contain scholarship recipient data. This report is used as notification of the scholarship disbursement.~~

~~The account manager of the scholarship program will determine whether funds should be repaid if the student withdraws from the university or no longer meets the eligibility criteria. In such situations, the account manager must notify the Office of Student Financial Assistant whether to charge back the funds and issue a bill to the student.~~

Employee Conflict of Interest and Confidentiality

A conflict of interest can occur when personal interests affect the performance of a professional obligation to the university. ~~All SFA employees must report anything that may have a potential to be a conflict of interest.~~ All SFA employees who are part of a scholarship committee or have access to the scholarship software will be required to annually disclose potential conflicts of interest.

Cross Reference: Ethics (2.6);~~,~~ Gifts, Loans, Endowments, and Bequests (3.17); Tex. Educ. Code § 51.969

Responsible for Implementation: ~~Provost/*Vice President for Academic Affairs, Executive Director of Enrollment Management*, and Vice President for Academic Affairs and Vice President for University Advancement~~

Contact For Revision: Director of Financial Aid *and Scholarships*

Forms: SFA Scholarship application; Scholarship Authorization and Disclosure form; Employee Disclosure; Disbursement Form; Pre-Disbursement Form

Board Committee Assignment: Academic and Student Affairs Committee

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Grievance and Appeals

Policy Number: 11.15

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: President

Purpose of Policy (what does it do): It is the policy of the university to seek fair and equitable solutions to grievances arising from the employment relationship. This policy applies to all staff employees.

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: Category 1 grievances have been modified from a five step process to a four step process. Human Resources' authority to designate which step a grievance should begin has been formalized in policy. A formal hearing is only available in instances of termination when requested by the individual who filed the grievance, which is presented to a single hearing officer rather than a panel.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judi Kruwell, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Steve Westbrook, Interim President

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

Damon Derrick, General Counsel

Grievance and Appeals

Original Implementation: Unpublished
Last Revision: ~~April 30, 2019~~*July 26, 2022*

Purpose

It is the policy of the university to seek fair and equitable solutions to grievances arising from the employment relationship. This policy applies to all ~~non-academic~~ staff employees.

Definitions

Category I *G*~~g~~rievances consist of disciplinary actions resulting in involuntary terminations, demotions, decreases in salary, or suspensions without pay, and allegations of a violation of, or retaliation for the exercise of, constitutional rights.

Category II *G*~~g~~rievances consist of issues pertaining to wages, hours, working conditions, performance evaluations, merit raises, job assignments, interpretation of the official personnel or administrative policies of the university as applied to the grievant, oral or written reprimands, or similar matters involving management decisions concerning the grievant.

General

Grievances have been divided into two categories. A ~~five~~*four*-step grievance procedure for Category I grievances has been established for prompt and thorough consideration of employee grievances and to ensure due process of law. A shorter two-step procedure is provided for Category II grievances.

Each employee may, without prejudice or fear of retaliation, express his/her grievance through the channels outlined in this procedure for timely and thorough consideration. ~~-~~The university will not retaliate against an employee for the filing of a grievance under this policy*; however, the filing of a grievance will not constrain the university from taking appropriate employment action.*

A probationary employee may not file a grievance under Category I unless: (a) the action involves allegations of a health or safety hazard; or (b) the action involves allegations of a violation of, or retaliation for the exercise of, constitutional rights. A probationary employee may not file a Category II grievance for a disciplinary action.

Category I Grievances

Each grievance must be submitted in writing using the *university* grievance form, which can be obtained from Human Resources. A written grievance must contain a clear and concise statement

of the grievance which refers to the applicable policy alleged to have been violated, the date the incident took place, the issue involved, and the specific relief sought by the grievant. The grievance should include any additional information to be considered in its support. Once a grievance has been submitted in writing, it may not be changed or amended after the expiration of the ten (10) day period set out in Step One of the grievance procedure. All matters pertaining to a grievance will be treated as part of the official personnel file of the grievant.

When a grievance involves an alleged violation of constitutional rights or retaliation for the exercise of constitutional rights, the burden of proof is upon the grievant to establish by a preponderance of the evidence that the decision or action placed in question by the grievance was a violation of grievant ~~'~~s constitutional rights or was intended as retaliation for the lawful exercise of constitutional rights by the grievant. Otherwise, the burden of proof is on the university to show good cause as to why the grieved action was taken.

The grievant may present his/her grievance individually, through legal counsel, or through a representative of an organization that does not claim the right to strike. Fees or charges (if any) to the grievant for such representation must be paid by the grievant since university monies are not authorized for such use. The director of human resources has the obligation to assist the grievant, upon request, by explaining this grievance procedure in detail.

~~Procedure for~~ Category I Grievance *Procedure~~s~~*

1. *Step One (First-Line Supervisor).* The grievant will use the grievance form to present the grievance in writing to the first-line supervisor within ten (10) working days from the date of the alleged action or condition giving rise to the grievance. A copy of the grievance will be sent to the director of human resources by the first-line supervisor. Within five (5) working days, the supervisor will inform the grievant of the decision in writing. A copy of the decision will be sent to the director of human resources.
2. ~~*Step Two (Department*~~ *Unit Head or Administrative Equivalent).* Grievances not satisfactorily resolved in Step One may be appealed by the employee in writing to the ~~employee's~~ *grievant's* ~~department chair~~*unit head* or administrative equivalent. The appeal must be made within five (5) working days following the date of the first-line supervisor's decision in Step One. Within five (5) working days, the ~~department~~ *unit* head *or administrative equivalent* will inform the grievant of the decision in writing. Copies of the decision will be sent to: (1) the first-line supervisor; and (2) the director of human resources.
3. *Step Three (Dean or Director).* Grievances not satisfactorily resolved in Step Two may be appealed in writing to the appropriate dean or director. The appeal must be made within five (5) working days following the date of the Step Two decision. Within five (5) working days, the dean or director will inform the grievant of the decision in writing. Copies of the decision will be sent to: (1) *the first-line supervisor; (2)* the ~~department~~

unit head~~chair~~ or administrative equivalent; and (~~2~~*3*) the director of human resources.~~.~~

3.

4. Step Four (Vice President or cabinet-level administrator). Grievances not satisfactorily resolved in Step Three may be appealed in writing to the appropriate vice president *or cabinet-level administrator* of the university. The appeal must be made within five (5) working days of the date ~~of~~ the Step Three decision *was rendered* by the dean or director. The vice president *or cabinet-level administrator, in ~~his or her~~their sole discretion, may personally* ~~will have the option to~~ ~~handle~~ *consider* the grievance or *elect to*~~to~~ appoint a ~~Grievance Review Board~~*delegate* to consider the grievance. When the subject of the grievance is the termination of the grievant, a hearing ~~must~~ *will* be held~~,~~ if requested by the grievant *in their appeal to the vice president or cabinet-level administrator*. ~~The vice president will either~~ *personally* ~~commence the review~~ *hearing* ~~or request the appointment of the Grievance Review Board~~*appoint a delegate who will commence the hearing* ~~within ten (10) working days following the date of the receipt of the appeal. If the vice president does not request a Grievance Review Board,~~ *A*~~a written decision will be given~~ *rendered* ~~to the grievant within fifteen (15) working days following the date of receipt of the appeal~~*the hearing. If no hearing is ~~required or a hearing has not been~~ requested by the grievant, a written decision by the vice president or ~~his or her~~their delegate will be rendered ~~to the~~* ~~If a Grievance Review Board is requested, a written decision by the vice president will be given to the grievant~~ within ten (10) working days following the receipt of the ~~Grievance Review Board's report and recommendations~~*appeal*. Copies of the decision will be sent to: (1) *the first-line supervisor; (2) the unit head or administrative equivalent; (3)* the dean or director; and (~~2~~*4*) the director of human resources. *The decision of the vice president or cabinet-level administrator, or ~~his or her~~their delegate, is final.*

~~*5. Step Five (President).* The president of the university is the final level of appeal. Grievances not satisfactorily resolved in Step Four may be appealed in writing to the president. The appeal must be made within five (5) working days following the date of the Step Four decision by the vice president *or cabinet-level administrator*. The president may *elect to* handle the*personally* review of the grievance or, if a Grievance Review Board was not requested at the Step Four level, the president will have the option to appoint a Grievance Review Board*in his or her sole discretion, may appoint a delegate to review the appeal*. Within a reasonable period of time not to exceed thirty *business* (30) days following the receipt of the appeal, or receipt of the Grievance Review Board's report and recommendations, whichever occurs last, the president, *or his or her delegate if applicable*, will inform the grievant of the decision in writing. Copies of the decision will be sent to: (1) the appropriate vice president *or cabinet-level administrator*; and (2) the director of human resources.~~

The time limits set forth in the ~~five steps of the grievance procedure~~*Grievance Category I*

Grievance Procedures must be observed by both the grievant and the appropriate supervisory and administrative personnel. *F*~~The f~~ailure of the ~~employee~~ *grievant to* ~~to process the grievance in a timely manner to the next level~~*abide by the given timelines* will constitute a withdrawal of the grievance. *F*~~The f~~ailure of supervisory or administrative personnel to timely respond to a grievance will constitute authorization for the ~~employee~~ *grievant* to process the grievance to the next step.

In administering these procedures, the director of human resources has the authority to designate at which step a grievance may begin or skip steps, dependent upon the ~~*grievant's*~~*grievant's reporting line. For grievances against a vice president or cabinet-level administrator, the president or* ~~*his or her*~~*their designee will serve as the sole and final level of appeal.*

Category I ~~Grievance Review Board~~

~~All ranks of university non-academic employees are eligible to serve on the Grievance Review Board. Human Resources will maintain a roster of non-academic employees serving on the grievance panel. The members of the grievance panel will be representative of the university work force, taking into consideration that the panel also be representative as to sex, race, and supervisory or non- supervisory status. The members will be selected from nominations submitted by other non-academic employees. The president will make final approval of the panel.~~
Hearing Procedures

Where a ~~*hearing is afforded*~~*grievance concerns termination of the grievant and has been properly requested by the grievant in Step Four, the vice president or cabinet--level administrator will either personally commence the hearing or appoint a delegate who will commence the hearing within fifteen (15) working days following the date of the receipt of the appeal. T*~~A Grievance Review Board, consisting of three (3) members, will be selected from the grievance panel of ten (10) employees previously approved by the president. The grievant will select one (1) name and the Step Three official will select one (1) name. The board will name its own chair from the remaining members of the panel. A representative of Human Resources and/or counsel from the Office of the General Counsel may be consulted in procedural matters and present at the hearing.~~

~~The Grievance Review Board will strive to hold the necessary hearing or hearings within ten (10) working days from the date Human Resources is notified in writing that a vice president or the president, as applicable, requests a hearing of the grievance, with the understanding that availability and other scheduling issues may require the hearing to occur at a later date. The president, vice president, Human Resources representative or the grievant will have the right to object to the person selected as chair of the Grievance Review Board based upon the grievance pending before the board or perceived unfair representation of a division of the university due to the nature of the grievance.~~

~~After the board is constituted and the hearing date is scheduled, the board will convene and hear~~

~~the grievance.~~ ~~T~~he hearing will be closed to the public *and may be conducted by video conference*. The grievant, *the* institutional representative, and *the* university*'s vice president or cabinet-level administrator/delegate* all have the right to be advised by legal counsel or a representative of an employee organization *that does not claim the right to strike. Any* ~~(which does not have the right to strike), however~~ such legal counsel or representative *is permitted to provide support, guidance, or advice to their client, but may not directly* ~~*operate in an advisory role only and does not have the right to strike or actively*~~ *participate in*~~will not be allowed to conduct or participate in~~ the hearing.

At least five (5) business days prior to the scheduled hearing, the grievant and institutional representative will submit a list of its witnesses (including a short description of the testimony each witness is expected to provide) and *a copy*~~four copies~~ of its *documentary* evidence to the director of human resources~~ or their representative~~. The director of human resources ~~or their representative~~ will provide the list of witnesses and a copy of the *documentary* evidence to ~~each side and the members of the board~~*all parties*. Formal rules of evidence do not apply to the hearing, and the ~~boar~~*vice president or cabinet-level administrator/delegate* ~~d~~ may exclude evidence ~~*he or she*~~*they*~~it~~ deems~~s~~ irrelevant or superfluous. *Each party is responsible for securing the attendance of their own witnesses at the hearing.*

~~A court reporter or a~~*At a minimum, the hearing will be audio recorded*~~t least two (2) audio recording devices will be furnished by the university to record the hearing~~. *A*~~T~~The party requesting a typed transcript of the proceedings will be responsible for ~~payment of *such*~~*all associated costs*~~ame~~. The hearing will consist of opening statements by the grievant and the institutional representative, testimony by witnesses called by the ~~institution and the~~ grievant *and the institution*~~, with both parties having the right to~~ cross examin*ation*~~e~~ *of* witnesses, and *presentation of* any relevant exhibits. ~~which either party seeks to present to the board. At least five (5) business days prior to the scheduled hearing, the grievant and institutional representative will submit a list of its witnesses (including a short description of the testimony each witness is expected to provide) and four copies of its evidence to the director of human resources or their representative. The director of human resources or their representative will provide the list of witnesses and a copy of the evidence to each side and the members of the board. Formal rules of evidence do not apply to the hearing, and the board may exclude evidence it deems irrelevant or superfluous.~~

At the conclusion of the testimony, both parties will be permitted to make a closing ~~argument~~*statement*. *T*~~TFollowing the hearing, t~~he ~~Grievance Review Board~~*vice president or cabinet-level administrator/delegate will then close the hearing* ~~will retire to deliberate~~ and~~,~~ ~~as soon as possible, will submit~~ *issue* a written ~~report of its findings~~*decision to the grievant within ten (10) working days. Copies of the decision will be sent to: (1) the first-line supervisor; (2) the unit head or administrative equivalent; (3) the dean or director; and (4) the director of human resources. The decision of the vice president or cabinet-level administrator, or* ~~*his or her*~~*their delegate, is final.* ~~and recommendations to the vice president or president, as applicable, who will make a decision on the grievance.~~

Category II Grievances

Category II grievances are matters of employee-management disagreement other than those specifically defined as Category I grievances. Category II grievances are not authorized to be processed through the formal Category I grievance procedure. ~~Category II grievances include, but are not limited to, employee dissatisfaction relative to wages, hours, and working conditions as well as work related actions such as performance evaluations, oral or written reprimands, administration of the merit pay program, or job assignments or interpretations of the official personnel or administrative policies of the university as applied to the grievant.~~

~~Procedure for~~ Category II Grievances *Procedures*

1. *Step One.* A Category II grievance may be informally presented to the first-line supervisor for discussion and consideration.
2. *Step Two.* If a Category II grievance is not satisfactorily resolved by the first-line supervisor, the employee should present the complaint in writing using the grievance form to the appropriate ~~department~~ *unit* head or director for final consideration and action. If the grievance is against the ~~department~~ *unit* head or director, it will be presented to the appropriate dean or supervisor of the *unit head or* director for final consideration. The written grievance and the written response of the ~~department~~ *unit* head or director will be treated as part of the official personnel file of the employee. Copies of the written grievance and written response will be sent to: (1) the first- line supervisor; and (2) the director of human resources.

Cross Reference: U.S. Const. amend. V; U.S. Const. amend. XIV; Tex. Const. art I, § XIX

Responsible for Implementation: President

Contact for Revision: Human Resources

Forms: Formal Grievance Forms are 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: Intellectual Property

Policy Number: 9.4

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

Date of last revision, if applicable: 7/26/2022

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Policy details the university's rules regarding ownership and use of intellectual property developed by university employees and students.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for <u>each</u> substantive revision: No substantive change.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Steve Westbrook, Interim President
Damon Derrick, General Counsel

Intellectual Property

Original Implementation: April 9, 1988
Last Revision: July ~~23~~*26,* 202*2*~~19~~

Stephen F. Austin State University encourages participation by faculty, staff and students in scholarly research and creative activities that support and enhance teaching in its classrooms and laboratories. While research conducted at Stephen F. Austin State University is aimed at discovery and dissemination of knowledge, rather than profit from commercial application, the Board of Regents recognizes that questions regarding intellectual property rights may arise from such activities. The Board of Regents seeks through adoption of this policy to balance the interests of the public, the university and the inventor, author, or creator in intellectual property arising from research and creative activities conducted by employees of the university. The board further seeks to ensure that inventions, discoveries and creative works are used and controlled in an efficient and prudent manner which will result in maximum benefit to the public, the university and the inventor, author, or creator.

Applicability

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

Copyright

1. **Definitions**

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

to produce a “work made for hire” is made in advance between the university and faculty member, or as otherwise provided by university policy.

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

2. **Ownership**

a. General
In keeping with academic tradition, the university does not claim ownership of copyrightable intellectual property created by faculty during the normal course of their employment unless otherwise agreed in writing. Such property includes but is not limited to: course content, syllabi, course materials, course computer enhancements, authored/created textbooks, books, articles, software, multimedia courseware, data sets in any format and similar works, the intended purpose of which is to disseminate the results of academic research or scholarly study created on the faculty’s own initiative. Further, the university claims no ownership of faculty authored/created popular nonfiction, novels, poems, musical compositions, software or other works of artistic imagination which do not result from projects commissioned or assigned by the university. Unless evidence of excessive use or abuse of university funds or facilities exists, the university will convey, upon request and to the extent consistent with its legal obligations, the copyright in such works to the individual faculty creator(s) or author(s). Faculty members will make such decisions and take such steps to protect works they own, with their discretion. The university reserves the right to use for instructional and research purposes, without obligation to make payment therefore, any works created by

employees or students during their periods of employment or attendance and revisions or derivations of such works.

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

c. Use of University Resources
   i. Copyright in all material (including software) that is developed with the significant use of funds, space, hardware, or facilities administered by the university, including but not limited to classroom and laboratory facilities, but without any obligation to others in connection with such support, resides in the university. The university recognizes and affirms the traditional academic freedom of its faculty to publish freely without restriction. In keeping with this philosophy, the university will not construe the provision of office, computer or library facilities as constituting significant use of university resources, except for those situations where funds were paid specifically to support the development of such. Faculty development leaves, faculty development grants, mini-grants and research course reductions will not be construed as a significant use of university resources unless otherwise agreed to by the university and faculty member.
   ii. Copyright in works resulting from projects that are performed in whole or in part by any person with grants from funds administered by the university shall be determined in accordance with the terms of the support agreement, federal law, or, in the absence of such terms, shall be negotiated by the parties involved. The university will determine whether to register and enforce the copyright on works it owns.

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

e. Grandfather Clause for Ownership of Fully Online Courses

Agreements executed under the Intellectual Property Rights for Distance Education policy (deleted July 26, 2016) still apply.

3. **Revenue Sharing**

   a. Works Not Owned by Stephen F. Austin State University
   If the university does not claim ownership of an intellectual property, authors and creators of intellectual works not owned by the university may copyright the related work, publish it, register the copyright and receive any revenues which may result therefrom.

   b. Works in Which Stephen F. Austin State University Has a Property Interest (Generally, Commissioned Works or Works Prepared in the Course and Scope of Employment)
      i. Royalty income received by the university through the sale, licensing, leasing or use of copyrightable material in which the university has a property interest will normally be shared with the author. Authorship for this purpose shall be determined by the president or his designee. Compensation and division of royalties, if any, will be negotiated by written agreement prior to commencement of work on the project or as soon thereafter as practical.
      ii. In the event that an author contributes a personal work to the university, a written agreement accepting such contribution shall be executed. The terms of the agreement shall include a statement governing the division of royalties between the university and the author.
      iii. In cases of extramural funding, the terms of the funding agreement shall govern the division of any royalties that may result from commercialization of materials resulting therefrom. In the event that the funding agreement vests royalty rights in the university, and does not provide any royalty share for the author, the terms of Copyright, Section 3.b.(i) shall apply. No such royalty payment to the author, however, may violate the terms of the funding agreement.

4. **Use of University or Agency Sponsored Materials**
   a. Prior to the use of a work in which the university has an interest, the author will consult with the university through appropriate administrators, or provide a reasonable opportunity for such consultation, with respect to its use.
   b. When unresolved questions on use occur, they shall be referred to the president or his designee for resolution.

5. **Revision of Materials**
   Materials owned by the university under the terms of this policy shall not be altered or revised without providing the author a reasonable opportunity to assume the responsibility for the revision. If the author declines the opportunity to revise such material, the assignment of responsibility for the revision will be made by the president or his designee in consultation

with the appropriate department or office. This does not apply to the substantial redevelopment of fully developed approved online courses.

6. **Withdrawal of Materials**
   a. Materials owned by the university under the terms of this policy shall be withdrawn from use when the university, in consultation with the author, deems such use to be obsolete or inappropriate. No withdrawal or other discontinuance that would violate the terms of any licensing or other agreement relating to the materials shall take place.
   b. The university may release to the author(s) the right to any work copyrighted in the name of the university.

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

8. **Notice of Copyright**
   Although the law does not require copyright notice for legal protection, the university encourages that such notice be applied to all works.

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

   © 20__, Stephen F. Austin State University. All rights reserved.

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

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

Patents

1. **Obligations**
   a. Employees and others who are subject to this policy by virtue of their employment or use of university services or facilities shall disclose to the president or his designee (dean with

copy to the general counsel) any invention or discovery (including those made under cooperative arrangements); provide complete information thereon; and cooperate with the university in protecting potential patent and know-how rights in accordance with Administration of Intellectual Property below.

b. When an invention arises from a project specially commissioned by the university, created in the course of employment, or with use of university facilities or funds beyond the provision of office or library facilities, the inventor hereby assigns all rights, title and interest in and to any such invention to the university or its designee and shall assist the university or its designee in securing patent protection on the invention. The inventor shall, upon request, execute an invention agreement prior to commencement of the project, or as soon thereafter as practical.

c. All parties privy to inventions, know-how, trade secrets, or other discoveries which may be patentable shall maintain such information in strict confidence, so as to protect the intellectual property (subject to internal disclosure as outlined above). Researchers, consultants, and other individuals hired on projects which may involve the development of patentable property shall execute a non-disclosure agreement. Notwithstanding this provision, all employees shall be subject to non-disclosure and confidentiality obligations on patentable or other trade secret information as a term and condition of employment.

2. **Sponsored Research**

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

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

3. **Royalties**

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

      i. Fifty percent (50%) to the inventor(s);

      ii. Fifty percent (50%) to the university.

   b. Special facts concerning an invention may warrant a different distribution of royalties. Agreements with respect to royalties shall be in writing and signed by the president or his

designee. Any agreement which grants the inventor more than fifty percent (50%) of the net royalties shall require approval of the Board of Regents.

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

4. **Use of Inventions and Discoveries**
   a. Prior to the use of an invention or discovery in which the university has an interest, the employee responsible for the invention or discovery will consult with the university through appropriate administrators, or provide a reasonable opportunity for such consultation, with respect to its use. The university reserves the right to use for instructional and research purposes, without obligation to make payment therefore, any inventions or discoveries made by employees during their periods of employment and revisions or derivations of such inventions or discoveries.
   b. When unresolved questions on use occur, they shall be referred to the president or his designee for resolution.

Trademarks, Service Marks and Trade Names

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

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

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

4. No licenses shall be granted to commercial entities for use of trademarks or service marks in connection with inherently dangerous products, products of obscene or disparaging characteristics, health related products, and any other uses which in the opinion of the president or his designee would degrade the reputation or goodwill of the university.

5. Trademark licensing inquiries should be directed to the director of athletics for processing in accordance with the university's licensing program. If the licensing inquiry does not fall within the traditional licensing program, the request should be forwarded to the general counsel.

Trade Secrets

Trade secrets may be comprised, generally, of any formula, pattern, or device, or of information which gives one an opportunity to obtain an advantage over competitors who do not know or use it

in commercial applications. Trade secrets in which Stephen F. Austin State University maintains an interest shall be protected in accordance with the terms of sponsored research agreements or, if none exist, by any lawful means available to the university as determined by the president or his designee.

Disclosure of Intellectual Property

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

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

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

Equity Ownership and Management Participation

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

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

3. In accordance with Section 51.912 of the Texas Education Code, the names of all business entities that have an agreement with the university relating to the research, development,

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

Disposition of Income

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

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

License Agreements

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

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

Administration of Intellectual Property

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

2. In determining the university's ownership interest in any intellectual property and measures necessary for appropriate protection or exploitation of such interests, the president or his

designee may utilize assistance from designated university committees, the general counsel, Texas attorney general, an appropriate private law firm or attorney, or corporations established for the purpose of managing intellectual property.

3. The responsibility for commercial marketing and licensure of intellectual property, and for maintenance of appropriate fiscal records, is assigned to the president or his designee.

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

Cross Reference: Tex. Educ. Code § 51.912; United States Code, Titles 17, 35

Responsible for Implementation: President

Contact for Revision: 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: Interlibrary Loan Services

Policy Number: 4.11.1

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: Provost and Executive Vice President for Academic Affairs

Purpose of Policy (what does it do): If materials are not available at the SFASU library, faculty, staff and students have the capabilities to borrow items within the Interlibary Loan Services (ILL).

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Policy to be moved to the Steen Library Procedures Manual.

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

Interlibrary Loan Services

Original Implementation: March, 1985
Last Revision: April 30, 2019

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

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

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

Requests should be submitted to the ILL department through the library's website.

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

The library reserves the right to refuse any ILL request if fulfillment of the request would violate copyright law. Steen Library abides by the National ILL Code, which regulates the exchange of material between libraries in the U.S., and maintains such records of ILL transactions as required by the university's records retention schedule.

Cross Reference: U.S. Copyright Law (Title 17, U.S. Code, Section 108); National Interlibrary Loan Code

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

Contact for Revision: Library Director

Forms: http://2912.account.worldcat.org/profile/

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Library Borrowing

Policy Number: 4.11.2

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: Provost and Executive Vice President for Academic Affairs

Purpose of Policy (what does it do): Guidance on who can borrow materials from the SFASU library.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for <u>each</u> substantive revision: Policy to be moved to the Steen Library Procedures Manual.

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

~~Library Borrowing~~

~~**Original Implementation:** February 11, 1981~~
~~**Last Revision:** April 30, 2019~~

~~Persons who hold Stephen F. Austin State University identification cards or Judy B. McDonald Public Library cards are eligible to borrow materials from the Ralph W. Steen Library. Individuals who do not hold either card may use an official picture identification, e.g., driver's license, to borrow materials. A university library card may be issued upon request. Loan periods vary by borrower category and type of material borrowed. Library users are responsible for all materials borrowed from either library, including the payment of overdue fines, and replacement and/or repair costs for lost or damaged materials. Borrowing privileges are suspended at both libraries for overdue materials or unpaid charges at either library. Individuals are limited to ninety-nine items on their borrowing record at any one time.~~

~~Ralph W. Steen Library recognizes and accepts TexShare reciprocal borrowing cards from participating institutions. TexShare library card holders from participating institutions must present an official picture identification when borrowing materials from Ralph W. Steen Library. TexShare cards issued to SFA students are valid for one semester, expiring on the first day of the following semester, whereas, faculty and staff TexShare cards expire at the end of August.~~

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

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

~~**Contact For Revision:** Library Director~~

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

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

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Library Gifts

Policy Number: 4.11.3

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

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

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

Purpose of Policy (what does it do): Guidelines for gifts to Steen Library.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for <u>each</u> substantive revision: Policy to be combined with policy 3.17 and be moved to the Steen Library Procedures Manual.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Library Non-Monetary Gifts

Original Implementation: March, 1982
Last Revision: October 28, 2019

The purpose of the Ralph W. Steen Library's gift program is to support the academic mission of the university by accepting materials.

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

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

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

Cross Reference: Gift Reporting (3.16)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Library Director

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Military Service Activation

Policy Number: 6.14

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 Vice President for Academic Affairs for University Affairs

Purpose of Policy (what does it do): Provide course absence and withdrawal guidance for students that may be called to active military service.

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: 1. Provide process for students that miss more than 25% of total number of class meetings. 2. Clarify process for student withdrawal from the university due to military service activation. 3. Minor edits.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Military Service Activation

Original Implementation: April 20, 2010
Last Revision: July ~~23, 2019~~*26, 2022*

Through the course of an academic term, a student may be called to active military service. In the event of activation or mobilization, students are required to present a copy of their official orders *to the Registrar's Office* to facilitate verification of inclusive dates. Students called to active military service have several options available to them for the treatment of their academic coursework and financial obligations.

Excused Absence for Military Service Activation

Should a student called to active military service choose not to withdraw, the university will excuse the student from attending classes or engaging in other required activities upon receipt of a copy of the military orders. Excluding the final examination period, the maximum amount of time a student may be excused will be no more than twenty-five percent (25%) of the total number of class meetings, or the contact hour equivalent. The university will not penalize the student for that absence (including any travel associated with the service) and the student will be allowed to complete any assignment or take any examination within one year after the completion of active service.

The university may provide as an accommodation, if reasonable and appropriate under the individual circumstances, extended time for course completion and additional services for those returning from active military service with documented duty-related disabilities. See Academic Accommodation~~s~~ for Students with Disabilities (6.1). During this time, the syllabus and a record of the coursework completed prior to activation will be retained by the instructor or academic unit. The student will be able to complete the course without penalty and under the same requirements as when the student initially enrolled in the course.

Upon returning from active military service, the student will provide to the registrar a written request to complete the course. Upon receipt, the registrar will contact the *Dean of the student's major* ~~academic unit head~~ who will coordinate the completion of the course*(s) with the appropriate academic department(s)*. If the student fails to complete any coursework or examinations, the student will receive the grade earned up to that point. Any dispute under this policy will be handled under normal academic procedures. See Final Course Grade Appeals by Students (6.3).

Withdrawal from University for Active Military Service

~~Any withdrawal from a course due to active military service will be treated as if the student had not enrolled in that course.~~ If a student elects to withdraw from the university due to military service activation, the university, at the student's written request and upon receipt of a copy of

the military orders, will*:*

~~1. refund the tuition and fees paid by the student for the semester in which the student withdraws;~~

~~2. petition the instructor to assign an appropriate final grade or credit to a student who has satisfactorily completed a substantial amount of coursework and who has demonstrated sufficient mastery of the course material. The decision will be at the instructor's discretion; or,~~

~~3. grant the student, who is eligible under the institution's guidelines, an incomplete grade in all courses by designating "withdrawn-military" on the student's transcript.~~

1. Refund the tuition and fees paid by the student for the semester in which the student withdraws. Any withdrawal from a course due to active military service will be treated as if the student had not enrolled in that course; or

Grant a student, who is eligible under the institution's guidelines, an incomplete grade in all courses by designating "withdrawn-military" on the student's transcript,~~;~~ or

~~1.~~2.~~A~~as determined by the instructor, assign an appropriate final grade or credit to a student who has satisfactorily completed a substantial amount of coursework and who has demonstrated sufficient mastery of the course material.

Cross Reference: Tex. Educ. Code §§ 51.9111, 54.006(f); 19 Tex. Admin. Code § 4.8; Course Grades (5.5); Course Add/Drop (6.10); Student Fiscal Appeals (6.19); Satisfactory Academic Progress for Financial Aid Recipients (6.16); Academic Accommodations for Students with Disabilities (6.1); Final Course Grade Appeals by Students (6.3).

Responsible for Implementation: ~~Provost and Vice President for Academic Affairs~~ *Executive Director of Enrollment Management* ~~and Vice President for University Affairs~~*~~Chief Diversity Officer~~*

Contact for Revision: Registrar

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Missing Student Notification

Policy Number: 13.13

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

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

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

Purpose of Policy (what does it do): This policy, along with its accompanying procedures, establishes a framework for cooperation among members of the Stephen F. Austin State University community, in accordance with the Higher Education Opportunity Act (HEOA) of 2008, aimed at locating and assisting currently enrolled students who reside on and off campus and have been reported missing.

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:

John Fields, Chief of Police
Andrew Dies, Assistant Vice President of Student Affairs/Dean of Students
Brandon Frye, Vice President of Student Affairs
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Missing Student Notification

Original Implementation: July 20, 2010
Last Revision: July *26*~~23~~, 202*2*~~19~~

Purpose~~:~~

This policy, along with its accompanying procedures, establishes a framework for ~~—~~cooperation among members of the Stephen F. Austin State University community, in accordance with the Higher Education Opportunity Act (HEOA) of 2008, aimed at locating and assisting currently enrolled students who reside ~~on and off~~*in on-*~~-~~campus *housing* and have been reported missing.

General

Any person having reason to believe that a student may be missing should immediately contact the Stephen F. Austin State University Police Department (UPD). The *U*~~u~~niversity *P*~~p~~olice *Department* shall investigate each report and immediately notify the appropriate university administration *if there is evidence that the person could be missing*.

A student is presumed to be missing when his or her absence is inconsistent with his or her established patterns of behavior, and the deviation cannot be readily explained. Before presuming that a person is missing, reasonable measures should be taken to determine whether or not the student is at another place of residence and whether or not anyone familiar with the person has seen or heard from the person recently or is aware of where he or she may be.

Contact Information~~:~~

~~All s~~Students shall have an opportunity to designate a contact person who will be notified in the event the student *residing in on-campus housing* is determined to be missing. This contact information is separate from the emergency contact information a student may have provided as part of the registration process and will not be disclosed outside of a missing person investigation.

If a student fails to provide a separate contact person to be notified in a missing person investigation, the university may contact any person listed as an emergency contact for ~~—~~the student.

If the student deemed missing is younger than 18 years of age and is not emancipated, the University Police Department is required to notify the parent or guardian of the missing student within 24 hours after that determination is made.

Procedure~~:~~

- Anyone who suspects a student may be missing should notify the University Police Department immediately at 936-468-2608 *or 911*.
- Any report of a missing student made to a university office or employee, should be directed immediately to the University Police Department at 936-468-2608.
- When a student is reported missing, the University Police Department shall;
  - Initiate an investigation to determine the validity of the missing person report;
  - Notify the assistant vice president *of student affairs/ ~~and~~* ~~and~~ dean of students;
  - Make a determination as to the status of the missing student *based upon the investigation*;
  - ~~•~~ If the student is determined to be missing ~~:~~
  - notify the confidential contact person identified by the missing student as the emergency contact within 24 hours;
  - If the student has failed to provide a confidential contact person, notification may be made to any person listed as an emergency contact for the student;
  - Notify the student's custodial parent or guardian as contained in the records of the university within 24 hours of the determination that the student is missing if the student is younger than 18 years of age and is not emancipated.
- The *assistant* vice president *of* ~~for university affairs~~*student affairs/dean of students* shall initiate any action he/~~ or~~ she deems appropriate under the circumstances to be in the best interest of the missing student.
- The University Police Department may request the assistance of other law ~~–~~enforcement agencies as deemed necessary in the investigation.

Awareness~~:~~

A statement of this policy and the missing student notification procedures shall be provided in the university's annual security report in accordance with federal law and regulations.

The assistant vice president *of student affairs/* ~~and~~ dean of student*s and the University Police Department*~~t affairs~~ shall have the responsibility to inform students of the provisions of this policy, and the procedures set forth above.

Cross Reference: 20 U.S.C. § 1092(j); 34 C.F.R. § 668.46

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

~~Affairs~~ *and Vice President- of~~of~~ Student Affairs*

Contact for Revision: ~~Executive Director of Public Safety *and Parking Services/*~~Chief of Police~~;~~*and Assistant Vice President of Student Affairs/Dean of Students*

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Outside Employment

Policy Number: 11.19

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 outlines the requirements of Stephen F. Austin State University (SFA) employees in reporting outside employment that is in addition to their employment at SFA. This policy applies to all employees of SFA except positions that require enrollment as a student.

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, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Outside Employment

Original Implementation: April 21, 1981
Last Revision: *July*~~April~~ *26*~~12~~20, 202~~2~~1

Purpose

This policy outlines the requirements of Stephen F. Austin State University (SFA) employees in reporting outside employment that is in addition to their employment at SFA. This policy applies to all employees of SFA except positions that require enrollment as a student.

Definitions

Outside employment - ~~is~~ engagement in any activity for a fee, salary, wages, or other financial arrangement other than for SFA. Examples include dual employment with another entity in Texas government, establishing or joining a firm, private business, or engaging in the private practice of some professional skill, or working at another job.

Dual employment - ~~is~~ engagement in any activity for a fee, salary or wage at another state agency or institution of higher education other than SFA**.**

Annual Conflict of Interest Disclosures – required annual disclosures by certain university employees using the university's online process.

General

University employees who propose to engage in outside employment activities must adhere to the following guidelines and any applicable laws:

1. An individual desiring permission to engage in outside employment must complete the Request for Approval of Outside Employment form and route it through administrative channels to the appropriate division head (or president if no division head oversees the office) for approval, prior to beginning outside employment. After initial approval of the outside employment, the employee will annually disclose or update such outside employment in the Employee Annual Conflict of Interest Disclosures.
2. Proper performance of the employee's university assignment is paramount and outside work will assume a position secondary to university duties.
3. The employee may not use any materials or facilities of SFA in the course of outside employment.
4. The employee will make a reasonable effort to assure that his/her outside employment is not identified with SFA.
5. The employee cannot perform any outside employment within the hours in which they are also

being compensated for employment with SFA.

In addition, the following guidelines and constraints are applied for dual employment:

1. ~~1. Separate leave records will be maintained for each employment~~*An employee seeking dual employment must notify and receive approval from both the current and potential additional state employer prior to accepting multiple state employments*.

~~1.~~*2.Separate leave records will be maintained for each employment.*

3~~2~~. Time worked in one position may not be used as additional tenure credit for purposes of longevity or annual leave accrual for the other position.

4~~3~~. Upon termination of one employment, the leave balances accrued under that employment may not be transferred to the remaining employment.

5~~4~~. The state's contribution towards the taxes imposed on the employee by the Federal Insurance Contributions Act may not exceed the overall limit specified in the General Appropriations Act. The *state* comptroller shall prescribe such uniform accounting and reporting procedures as necessary to ensure that expenditures for this purpose do not exceed this limit.

6~~5~~. The total state contribution toward the employee's group insurance will be limited to no more than the amount specified in the General Appropriations Act for one full time active employee.

7~~6~~. The employee will be entitled to receive longevity payment for no more than one employment.

8~~7~~. Overtime compensation will accrue for each employment totally independent of the other, except that when an employee works in a dual employment capacity where the employee is subject to the overtime provisions of the Fair Labor Standards Act (FLSA) of 1938, 29 U.S.C., sec. 201 et seq., in either employment, the employing agency or agencies must consider all combined time worked in excess of 40 hours per week as overtime and compensate the employee in accordance with the FLSA provisions applicable to joint employment relationships. In cases where the dual employment is with two separate agencies, the two agencies shall coordinate in order to determine which agency shall have the responsibility to assure that the employee is properly compensated in accordance with such provisions.

~~Each division head will provide a summary report to the president of individuals in their division approved for outside employment by October 31 of each year.~~

Cross Reference: Faculty Handbook, Tex. Const. art. XVI, §§ 33, 40; Tex. Gov't Code §§ 667.001-007; General Appropriations Act; Fair Labor Standards Act, 29 U.S.C. §§ 201-219

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Request for Approval of Outside Employment form is available on the human resources website; Employee Annual Conflict of Interest Disclosures.

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Parking Services

Policy Number: 13.14

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

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

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

Purpose of Policy (what does it do): SFASU parking regulations are intended to regulate and control parking and the use of parking facilities, to provide for the issuance of parking permits, and to provide for jurisdiction over offenses. These rules and regulations are supplementary to applicable ordinances of the city of Nacogdoches and the statutes of the state of Texas that govern pedestrians and the use of motor vehicles and bicycles.

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: Name change and minor changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

John Fields, Chief of Police
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Parking ~~and Traffic~~*Services*~~Services~~

Original Implementation: September 1, 1961
Last Revision: July *26*~~27~~, 2022~~1~~

Purpose~~:~~

The Texas Education Code provides that the governing board of each state institution of higher education may promulgate rules and regulations for the safety and welfare of students, employees, and property, and other rules and regulations it may deem necessary to carry out the provisions of the Texas Education Code and the governance of the institution, provide for the operation and parking of vehicles on the grounds, streets, drives, alleys, and any other institutional property under its control.

General

The Board of Regents will approve the establishment of parking fees and any changes thereto. However, the board hereby delegates to the chief of police the authority to adopt rules and regulations that govern the operation and parking of vehicles on property owned or under the control of the university, including but not limited to limiting the rate of speed, assigning parking spaces and designating parking areas and their use, prohibiting parking as it deems necessary, removing vehicles parked in violation of university policy and procedure or law at the expense of the violator, and instituting a system of registration for vehicle identification.

The rules and regulations are supplementary to applicable ordinances of the city of Nacogdoches and the statutes of the state of Texas that govern pedestrians and the use of motor vehicles and bicycles.

The rules and regulations will be reviewed on at least an annual basis, and include review by the office of the general counsel.

~~General:~~

A. The operation of a motor vehicle or bicycle on university property is a privilege granted by the university and is not an inherent right of any faculty/staff member, student or visitor. All faculty, staff, students and visitors who park on university property must have and display a university parking permit or park in a short-term paid parking space. A parking permit signifies that an individual has been granted the privilege of parking a vehicle on university property and does not guarantee a parking place on campus.

B. The university assumes no liability or responsibility for damage to or theft of any vehicle parked or driven on campus. The university assumes no responsibility or any duty to protect

any vehicle or its contents at any time the vehicle is operated or parked on the campus. No bailment is created by granting any parking or operating privileges regarding a vehicle on any property owned, leased or otherwise controlled by the university.

C. Each person operating a motor vehicle on university property is responsible for obeying all university parking services regulations as well as all city and state parking regulations. The regulations are in effect at all times on university property including semester breaks, holidays, weekends, and intersessions.

Administration and Enforcement of the Regulations~~:~~

A. **~~Parking Services:~~** The *p~~P~~*arking *s~~S~~*ervices division of the SFA University Police Department (UPD) is authorized to enforce the regulations and is responsible for the administrative functions relating to parking permits; establishing procedures and requirements for the issuance of parking permits; the collection of enforcement fees for parking services violations; establishing requirements for the submission of appeals; the processing of appeals from parking services citations; and for management of parking lots and garages. ~~University~~ *P~~P~~*arking *s~~S~~*ervices enforcement officers are authorized to write university parking citations.

B. **~~The Stephen F. Austin State University Police Department (UPD):~~** The *u~~U~~*niversity *p~~P~~*olice division of UPD is also authorized to enforce the regulations at any time or under any circumstances deemed necessary. UPD officers may issue university citations or court appearance citations enforceable in justice of the peace or municipal court.

Additionally, the university police shall be vested with the authority to refuse to allow persons having no legitimate business to enter upon any property under the control and jurisdiction of Stephen F. Austin State University and to eject any unauthorized persons from said property upon their refusal to leave peaceably upon request.

The university police are authorized to enforce the Texas Motor Vehicle Code, the Texas Penal Code, and applicable ordinances of the city of Nacogdoches, the parking services regulations of the university, and all other laws.

Authority~~:~~

Parking *s~~S~~*ervices and UPD are authorized to enforce the regulations:

A. Through the issuance of university citations and collection of enforcement fees, including the periodic billing of unpaid citations and the referral of individual cases pertaining to unpaid campus citations to a collection agency;

B. Through the impoundment of vehicles interfering with the movement of vehicular, bicycle, or

pedestrian traffic, blocking a sidewalk or space for those with disabilities, loading dock, ramp, cross-walk, entrance, exit, fire lane, or aisle;

C. Through the impoundment or immobilization of vehicles for unpaid enforcement fees or display of a lost, altered, stolen or unauthorized parking permit;

D. By the suspension, revocation or denial of campus parking and driving privileges, parking permit and garage access privileges to those who have flagrantly violated these regulations;

E. By requiring either the vehicle owner or operator or the person who purchased the permit to appear in court for certain moving violations or at a university hearing for non-payment of outstanding charges or other violations of these regulations;

F. By barring re-admission and by withholding grades, degree, refunds and official transcript of any student for non-payment of outstanding charges in accordance with university ~~standards~~ *policy*;

G. By disciplinary action against employees or students who fail to abide by these regulations;

H. By such other methods as are commonly employed by city governments or state agencies in control of traffic regulation enforcement.

I. Violation of the university parking services regulation is a misdemeanor punishable by a fine of up to $200.

J. With approval of the vice president for finance and administration, UPD and *p*~~P~~arking *s*~~S~~ervices may authorize an alternative method for the payment of fines that is consistent with the university's mission such as community service hours or the collection of food for area foodbanks.

Collection Methods~~:~~

The university may arrange for collection of debts due to the university pursuant to the regulations in the following manner and as specified elsewhere in the regulations:

A. Permit payments may be deducted from employee payroll checks with the employee's permission. Deductions for all permit purchases will continue until the full price of the permit is paid or until the permit is returned. Employees are responsible for monitoring their paychecks to ensure that proper deductions are being made for their SFA parking permit.

B. A financial hold may be placed against *anyone*~~students~~ for past due debts.

~~C.~~ Any charge not paid when due *is considered an accounts receivable subject to collection*

following policy 3.28, Student and Non-Student Accounts Receivable. ~~may be forwarded to a collection agency or an attorney for collection. The offender will be responsible for paying all costs of collection, including any agency fees and/or reasonable attorney's fees, which will be added to the total amount due.~~

Appeals

~~:~~ The rules and regulations established by Parking Services will provide a procedure for appeal of a citation.

Cross Reference: Parking Services Regulations; Tex. Educ. Code §§ 51.201-.211, 54.505; Tex. Transp. Code § 681.008, Ch. 683*; Student and Non-Student Accounts Receivable (3.28)*

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: *Executive Director and /*Chief of Police

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Policy Development and Format

Policy Number: 1.6

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: President

Purpose of Policy (what does it do): Policy describes the policy review and formation process and contains the format each policy must follow

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: Policy 13.14 removed from mandatory annual review due to the removal of parking and traffic charges and fees from the policy. Revision history added to each policy.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Damon Derrick, General Counsel

Policy Development and Format

Original Implementation: July 16, 2013
Last Revision: July ~~23~~*26, ~~2019~~2022*

A. POLICY FORMAT

Each policy will have a title that is concise but descriptive.

Each policy is indexed with a numeric indicator which indicates the position of the entry within the policy manual. Each policy contains two sets of numbers separated by a period. The number preceding the period refers to the subject area and the number following the period identifies the sequentially numbered policy within that subject area. The index number will be noted in the footer.

Each policy will have the following captions, defined as follows:

- Original Implementation: All new policies must be approved by the board of regents. The caption specifies the date of original approval of the policy by the board of regents. If the date of original implementation could not be determined accurately, Unpublished is substituted.
- Last Revision: All revisions to policies must be approved by the board of regents. This caption indicates the latest date that the policy was approved by the board of regents; the text of the policy is the latest revision, as of this date.
- Cross Reference: These consist of other policies or statutory references that may have a direct impact upon the policy.
- Responsible for Implementation: This caption indicates the position title of the senior university administrator who has been delegated by the board of regents and/or the president with the responsibility of administering this policy. This caption should state either the president, *vice president,* or ~~the vice president(s)~~*other division head* to whom the president has delegated this responsibility. If the policy is a university-wide policy, the responsible office listed is president; if the policy affects or is administered by a division of the university, the vice president *or other division head*~~of the division~~ is listed.
- Contact for Revision: This caption lists the position title of the university employee who directly administers the policy on a day-to-day basis and/or has been assigned the responsibility for revision of the policy. In some cases, there are multiple employees listed as responsible for revision and each must collaborate in the revision to coordinate changes that will impact more than one university division.
- Forms: Forms necessary to implement the policy are listed by title, followed by a parenthetical reference which indicates where the form may be obtained.

- Board Committee Assignment: This caption indicates which committee of the Board of Regents is responsible for initial review and recommendation for approval by the board.

- *Policy Revision History: This caption provides the revision dates of the policy for the previous ten years.*

Each policy will have a footer containing the page number, title and index number of the policy.

Policies will be styled consistent with the most recent version of the *Associated Press Stylebook.*

The general counsel may modify policies to revise contact information*, position title changes,* or as necessary to ensure compliance with this section. Additionally, the general counsel may modify the structure and format of the policy manual as needed to increase its usability and effectiveness.

B. PROCESS FOR PROPOSAL OR REVISION OF POLICIES

Policies may be revised by the Board of Regents at any time it becomes necessary or advisable. At a minimum, policies are to be reviewed every three years, with the exception of the following policies which require annual review:

- 2.13 ~~Sexual Misconduct~~*Title IX*
- 3.20 Investments – Endowment Funds
- 3.21 Investments
- 10.4 Student Code of Conduct
- ~~13.14 Parking and Traffic Regulations~~

The employee listed as contact for revision in each policy is responsible for initiating the review process and submitting the suggested policy changes through administrative channels to the president or to the vice president of the appropriate university division. In the academic affairs division, policy revisions should be submitted to the provost/vice president through a policy review committee.

New policies may originate from individual students, faculty or staff members, administrators, or from ad hoc or standing committees, groups, or boards; new policies must be submitted through the same process described above for policy revisions.

New or revised policies should be submitted for approval to the Office of the Board of Regents by the ~~president, vice presidents~~*individual responsible for the policy's implementation*, general counsel, or chief audit executive. The deadline for submission is approximately six weeks before each quarterly board meeting. Each submission must include a completed Policy Summary Form. The coordinator of board affairs will format the submitted policies for consistency and post online for campus-wide review and input. Additionally, copies will be sent to the president, and vice presidents, *and other division heads*. All policies are reviewed by the general counsel. Proposed

policies or revisions should be submitted to the board members in the agenda book ten days before each regular board meeting.

Following approval by the Board of Regents, policies are available in the online policy manual. A campus-wide email will be sent to highlight policy changes after each board meeting. Each university division will brief its staff concerning changes to relevant policies during staff meetings that follow each board meeting.

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: General Counsel; Coordinator of Board Affairs

Forms: Policy Summary Form (Board of Regents Office)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Reasonable Workplace Accommodations For Disabilities

Policy Number: 11.22

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

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

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

Purpose of Policy (what does it do): Stephen F. Austin State University shall make reasonable workplace accommodation for any employee having a known physical or mental impairment as defined under the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990 and the ADA Amendments Act of 2008, or state regulations, which does not constitute an undue hardship to the university.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

Specific rationale for each substantive revision: Minor changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Reasonable Workplace Accommodation for Disabilities

Original Implementation: April 20, 2004
Last Revision: July *26*~~23~~, 202*2*~~19~~

Purpose

Stephen F. Austin State University shall make reasonable workplace accommodation for any employee having a known physical or mental impairment as defined under the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990 and the ADA Amendments Act of 2008, or state regulations, which does not constitute an undue hardship to the university.

Definitions

~~A d~~*D*isability - ~~is~~ *a physical or mental impairment that substantially limits one or more major life activities; a record (or past history) of such an impairment; or being regarded as having such impairment*~~a known mental or physical impairment that substantially limits one or more major life activities of an individual either evidenced by a record of such impairment; or by being regarded as having such impairment~~.

~~A q~~*Q*ualified individual with a disability - ~~is~~ an individual who meets all the skills, experience, knowledge, educational and other job requirements of the position. In addition, the individual can perform the essential functions of the position with or without reasonable accommodation.

Reasonable accommodations - ~~are~~ modifications or adjustments to a job application process that enable a qualified applicant with a disability to be considered for the position such qualified applicant desires; or modifications or adjustments to the work environment, or to the manner or circumstances under which the position held or desired is customarily performed, that enable a qualified individual with a disability to perform the essential functions of that position; or modifications or adjustments that enable SFA's employees with a disability to enjoy equal benefits and privileges of employment as are enjoyed by its other similarly situated employees without disabilities.

~~An u~~*U*ndue hardship - ~~is~~ incurred when an accommodation request impacts the operations or business through the cost factors involved, or the effect on the safety of the requestor or other individuals, or due to the impact on the university's ability to conduct business.

General

Job postings will include a statement that all responsible workplace accommodations are requested

by calling the human resources department. The director of human resources or his/her designee will be responsible for overseeing the reasonable workplace accommodation policy and the procedures to ensure compliance.

Any employee requiring an accommodation shall notify his/her immediate supervisor as soon as practical, informing the supervisor of the nature of the disability. Any supervisor notified of a disability shall immediately report it to the director of human resources or his/her designee.

The employee shall provide to the director of human resources or his/her designee the following within a reasonable time from the date of notification, not to exceed fourteen (14) *calendar* days:

- A letter from an appropriate healthcare or rehabilitation professional. The letter shall contain a diagnosis, prognosis, and an evaluation as to the effect the impairment will have on the employee's ability to perform the essential duties associated with the employee's position.
- A copy of all documentation relevant to making a decision about reasonable accommodation. Relevant documents may include, but are not limited to, medical records.

The director of human resources or his/her designee may request a letter from the employee that includes:

- The nature and extent of the physical or mental impairment;
- A complete medical diagnosis by a qualified professional, including the results of any tests conducted to verify the extent of the condition;
- Which, if any, of the major life functions are substantially limited as a result of the employee's condition;
- A prognosis, including the permanent or temporary nature of the condition and a list of all job functions or tasks the employee cannot perform but can perform if reasonable accommodation is provided; and
- Recommendations for appropriate accommodations based on the job description and current duties, if applicable, including the source and type of any special equipment that may be needed.

The director of human resources or his/her designee shall confer with the employee to ascertain the employee's requirements and input on a reasonable accommodation.

Before making a decision regarding the accommodation, the director of human resources or his/her designee may submit the employee's request for accommodation, accompanying documentation and medical records to an appropriate health care professional or a disability committee of appropriate university employees familiar with determining disability status for evaluation and

recommendations at the university's expense. All information will be kept confidential by the expert or committee and all documentation provided to the expert/committee will be returned to the university by the expert/committee.

Based on the relevant information provided, the director of human resources or his/her designee shall determine what, if any, reasonable accommodation will be made and shall convey it to the employee and management. If accommodation would constitute undue hardship on the university, supporting documentation will state the reasons. An undue hardship determination will conform to definitions provided by the courts, ADA Amendments Act of 2008, and state regulations. Factors that may affect an accommodation decision should include, but are not limited to, the availability of funding, the amount of disruption of work of other employees, and the impact on the university's ability to conduct business.

Reasonable workplace accommodations taken may include making existing facilities readily available; modifications or adjustments to the work environment or manner or circumstances under which the position's essential functions are customarily performed; modifications or adjustments that enable the individual with the disability to enjoy equal benefits and privileges *of employment as are enjoyed by its* ~~as~~ other similarly situated employees without disabilities; and other appropriate adjustment to the work environment of a qualified individual with a disability.

Unless extenuating circumstances exist, the review process should not exceed a period of thirty (30) *calendar* days.

The director of human resources or his/her designee shall periodically confer with the employee with the disability to determine continuance of the workplace accommodation and shall notify the appropriate university personnel regarding the continuation or discontinuation of the workplace accommodation.

In addition to ADA information, all medical information concerning the employee requesting an accommodation shall remain confidential and separate from personnel files. This includes any doctor's statements, leave forms, or any other information that pertains to the medical condition or medical history of the employee. This pertains not only to all records kept by the human resources department, but extends to any records kept in the departmental offices.

~~This pertains not only to all records kept by the human resources department, but extends to any records kept in the departmental offices.~~

The president or his/her appointed representative shall periodically review and update this policy and procedures to ensure compliance with EEO laws.

Cross Reference: Rehabilitation Act of 1973, Pub. L. No. 93-112, 29 U.S.C. § 793, 34 C.F.R. § 104, 41 C.F.R. § 60-741; the Americans with Disabilities Act of 1990, Pub. L. No. 110-325, 42 U.S.C. §§ 12101-12213 as amended by the American with Disabilities Act Amendments Act of 2008, Pub. L. No. 110-325, 122 Stat. 3553; and the Tex. Lab. Code §§ 21.051-129

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Satisfactory Academic Progress for Financial Aid Recipients

Policy Number: 6.16

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

Date of last revision, if applicable: January 29, 2019

Unit(s) Responsible for Policy Implementation: Office of Financial Aid and Scholarships

Purpose of Policy (what does it do): This policy is required by federal regulation to monitor students academic progress for financial assistance eligibility.

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: Update to required verbiage related to rounding of calculation and the addition of a section on competency based calculations.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Rachele Garrett, Director of Financial Aid and Scholarships
Erma Brecht, Executive Director of Enrollment Management
Damon Derrick, General Counsel

Satisfactory Academic Progress for Financial Aid Recipients

Original Implementation: September, 1985
Last Revision: ~~January 29, 2019~~*July 26, 2022*

Federal regulations mandate minimum standards of satisfactory progress for students receiving financial assistance. Satisfactory academic progress (SAP) is the term used to denote a student's successful completion of coursework toward a certificate or degree. These standards apply to the student's entire academic history, whether financial aid was received or not, and to all types of aid~~: grants, loans, and work study~~. The standards for determining progress for continued financial aid at the university are composed of three separate measurements: grade point average (GPA), pace of completion, and maximum hours allowed for a degree level *program*. *Standard rounding rules apply for all SAP measurements. SAP standards apply to all federal, state, and institutional financial assistance programs with exceptions as defined by applicable law.* ~~All students must be enrolled in a degree or certificate program to be eligible to receive state or federal financial aid.~~

Satisfactory academic progress will be evaluated after each fall, spring and summer ~~terms~~*semesters*. ~~Although s~~Summer ~~terms include Maymester, Summer I and Summer II, the summer~~ SAP evaluations will only occur at the end of Summer II. ~~Students who fall behind in their coursework or fail to achieve minimum standards for grade point average and completion of classes may lose their eligibility for all types of federal, state and university aid.~~ Students will be notified of their financial aid eligibility via university email. *If SAP is not met, loss of financial aid occurs immediately.* ~~Students can find their SAP status within the financial aid menu on the university student portal.~~

All ~~S~~students *must be enrolled in a degree or certificate program to be eligible to receive state or federal financial aid.* ~~w~~ *Students w*ho are admitted to *the university*~~Stephen F. Austin State University (SFA)~~ as non-degree, pro*bationary,*~~visional,~~ transient, career interest or self-improvement *or*~~,~~ course audit~~, or concurrent enrollment~~ shall ~~NOT~~ *not* be eligible to receive state or federal financial aid. ~~When the student is admitted to a degree program or special student status has changed, a student may then be considered for financial assistance.~~ The U.S. Department of Education does not recognize academic fresh start and requires an institution to count *all* courses applicable to a student's major ~~(regardless of whether or not financial aid was received) in~~ *in* evaluating a student's SAP.

Financial aid probation/suspension is different from academic probation/suspension. Students on academic suspension, who are allowed by their academic dean to attend, may receive financial aid only if they meet the financial aid satisfactory academic requirements.

~~SAP standards apply to all federal, state, and institutional financial assistance programs with~~

~~exceptions as defined by applicable law.~~

GRADE POINT AVERAGE (GPA)

For financial aid purposes, an undergraduate student must maintain a cumulative GPA of 2.0, and graduate or doctoral students must maintain a cumulative GPA of 3.0. Grade point averages are verified at the end of each semester.

PACE OF COMPLETION

For financial aid purposes, students must complete 67% of the cumulative hours attempted at ~~SFA~~*the university*, including accepted transferred hours. Pace of completion is measured at the end of each semester.

Students that are in subscription-based programs are exempt from the pace portion of SAP; however, a student in this type of program is not eligible for a subsequent disbursement until all prior credit hours have been completed.

Grades of A, B, C, D, RA, RB, RC, RP or P denote satisfactorily completed credit hours. Repeated and remedial courses are counted in the calculation of pace of completion. Grades of F, W, WH, WF, WP, RD, RF, RWH, RWP, RWF, RW, or QF are not satisfactory. *Incompletes (grade of WH) do not affect a student's cumulative GPA for SAP but count as credit hours attempted toward both pace and maximum time frame.*

MAXIMUM HOURS ALLOWED FOR DEGREE OR CERTIFICATE

For financial aid purposes, the maximum number of hours allowed is one-and-a-half times the minimum program length for all degree programs~~ and allowable certificate programs~~. A student's entire *current* academic record is used in calculating maximum hours allowed. *Students exceeding the allowable* ~~Maximum hours allowed are verified at the end of each semester and students exceeding the allowable~~ number of hours will be denied further financial aid and will not be eligible for a warning period. *Maximum hours allowed are verified at the end of each semester.*

WARNINGS

Students will be given a warning semester when the required GPA or pace of completion is not met. At the end of the warning semester, students not in compliance are not eligible for financial aid. Students who have reached the maximum hours allowed are not eligible for a warning semester.

APPEALS

Students who are not making satisfactory academic progress and have had a warning semester may file an appeal with the *Office of F*~~f~~inancial *A*~~a~~id *and Scholarships* ~~office~~ within thirty (30) days after the first class day of the semester. Appeals ~~should~~ *must* state why the student failed to meet satisfactory academic progress and what has changed that would allow the student to *make satisfactory academic progress* ~~fulfill the requirements~~ at the end of the next *evaluation period*~~semester~~.

Appeals will only be accepted in the case of extenuating circumstances, such as death in the family, illness or injury to the student or immediate family member, or mitigating circumstances beyond the student's control. Appeals based solely on financial and/or emotional needs without sufficient explanation or documentation will not be approved. Appeals must include documentation to support extenuating circumstances. All decisions on appeals are final. Students will be notified of the ~~disposition~~ *outcome* of their appeal ~~in writing~~. A student who filed a financial ai*d* ~~d~~appeal must be prepared to pay registration costs regardless of any pending appeal status.

If an appeal is granted, and the student can regain eligibility in one semester, the student is placed on financial aid probation. A student who is placed on financial aid probation may receive financial aid for one subsequent semester. If an appeal is denied or is not submitted, the student must meet the minimum SAP standards at the end of the next evaluation period in order to regain financial aid eligibility.

ACADEMIC PLAN

Students may be ~~given~~ *placed on a financial aid* ~~an~~ academic plan if they cannot meet the minimum SAP requirements at the end of the next evaluation period. The plan will specify the number of hours that must be completed and/or the grade point average that will be necessary to bring the record back into compliance. Failure to meet the standards established in the academic plan will result in the ~~loss~~ *denial* of future financial aid eligibility.

~~**DEFINITIONS**~~

~~**Audited Courses**~~

~~Students may audit regular academic courses; however, these courses are not eligible for financial aid. Audited courses will not impact a student's SAP eligibility.~~

Change of Major

Students are allowed to make changes in their course of study ~~and major~~ for purposes of this policy; however, all changes will count in a student's SAP calculation. Change of major can result

in a possible overage of attempted credit hours which would impact the maximum time frame component.

~~**Conflicting Information***Grade Change*~~

~~All conflicting information is reviewed for SAP monitoring. For example, l~~*L*ate posted grades or grade changes will not automatically change current *SAP* status. Students may request that the SAP status be recalculated after they have confirmed with the registrar that the grade change has been posted to their academic record.

~~**Evaluation**~~

~~Loss of Title IV eligibility occurs immediately if SAP is not met. If the student's appeal is successful, the student is placed on financial aid probation and Title IV funds are disbursed for the next payment period only. The student must meet SAP at the end of each fall, spring or summer term or comply with the requirements of the academic plan designed to ensure the student will make SAP by a specified point in time.~~

~~**Incompletes**~~

~~Incompletes (grade of WH) do not affect a student's cumulative GPA for SAP, but count as credit hours attempted toward both pace and maximum time frame. Students with a grade of incomplete are encouraged to contact the financial aid office for further evaluation.~~

Pass/Fail Courses

In some classes, students receive a grade of either pass or fail. A passing grade will be included in the student's pace of completion and maximum time frame calculations. A grade of F will be included in the student's GPA, pace of completion and maximum time frame calculations.

Financial Aid Probation

If an appeal is granted, the student is placed on financial aid probation. A student who is placed on financial aid probation may receive financial aid for one semester. At the conclusion of the financial aid probation period, the student must meet the SAP standards or will no longer be eligible for financial aid.

Developmental Courses

Students are eligible to receive financial aid for developmental courses. These courses are ~~counted~~ *included in the pace of completion and maximum time frame*~~in the~~ calculation.~~ of both attempted~~

~~and earned hours for determining satisfactory progress.~~

Repeated Coursework

Students are allowed to repeat a course and, if passed, have it count toward enrollment for financial aid eligibility once. Each course attempt will count toward a student's pace of completion. ~~and all prior attempts with lower grades will count as unsuccessful credit hours attempted.~~

Transfer Credits

Transfer credit grades will not count toward a student's cumulative GPA; however, these will count ~~as~~ *toward pace of complete and maximum time frame calculations*~~both attempted and earned hours toward both pace of completion and maximum time frame for SAP~~.

Withdrawals

Withdrawals do not *count in a student's* ~~affect a student's~~ cumulative GPA ~~for SAP,~~, but count as credit hours attempted toward both pace of completion and maximum time frame. A withdrawal (grade of W) is different from a course which is dropped (no grade and no record of attempt). Students who withdraw prior to the first class date will not be penalized for SAP purposes. ~~Should a student withdraw after the first class date, those hours will count towards a student's pace of completion and time frame calculation.~~

Financial Aid Warning

Students will be given a warning semester when the required GPA or pace of completion is not met. At the end of the warning semester, students not in compliance are not eligible for financial aid. Students who have reached the maximum hours allowed are not eligible for a warning semester.

Cross Reference: 20 U.S.C. 1091(a)(2), (c); 34 CFR 668.16(e), 668.32(f), 668.34; Military Service Activation (6.14)

Responsible for Implementation: ~~Provost and Vice President for Academic Affairs~~*Executive Director of Enrollment Management*

Contact for Revision: Director of *Office of* Financial Aid *and Scholarships*; ~~Provost and~~ *Executive Director of Enrollment Management*~~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: Second Baccalaureate Degrees

Policy Number: 6.18

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): Speaks of commitment to helping those wishing to achieve a second baccalaureate degree at SFA.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for <u>each</u> substantive revision: Word clairificaiton.

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

Second Baccalaureate Degrees

Original Implementation: January 25, 2010
Last Revision: July 23, 2019

Stephen F. Austin State University (SFA) is committed to facilitating the timely completion of academic degrees and *to* providing opportunities to achieve second degrees at the baccalaureate level.

Students who hold a baccalaureate degree from an accredited institution, including SFA, may earn a second baccalaureate degree from SFA.

The following conditions apply to a second baccalaureate degree:

- Students who earned a first baccalaureate degree from another accredited institution must complete all requirements for the Texas Core Curriculum *and~~,~~ the SFA In-Residence policy*, ~~at least 30 semester hours at SF~~ as well as all the requirements for a second degree with at least 1~~5~~*2* hours taken in the major field at the upper-level.
- Students who earned a first baccalaureate degree from SFA *must meet the SFA In-Residence policy for the second degree and* may apply ~~up to 12 hours in~~ transfer credit to the second degree *at the discretion of the advisor and/or academic unit head*.
- Students must satisfy all prerequisites, co-requisites, and major requirements for the second degree program as required by the academic unit.
- Students seeking a second baccalaureate degree requiring a minor may use the major completed in the first bachelor's degree in lieu of a minor.
- At the discretion of the major advisor or academic unit head, courses completed successfully in the first bachelor's degree may be applied to the requirements for the second bachelor's degree.

Cross Reference: ~~None~~*In-Residence Requirement (6.15)*

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

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

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Small-Size Classes

Policy Number: 7.26

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):

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: Early review requested by Provost

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for <u>each</u> substantive revision: Policy name change to Course Enrollment. Multiple updates and changes to entire policy to help with the flow and understanding of class size.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

~~Small-Size Classes~~ *Course Enrollment*

Original Implementation: November 4, 1977
Last Revision: ~~April 30, 2019~~*July 26, 2022*

Course enrollment should reflect attention to learning theories, learner dynamics, and instructional quality controls as well as reflect institutional efficiencies and appropriate returns on investment. Course revenues include tuition and formula funding; differential tuition allocations are connected to course enrollments. Consequently, undergraduate courses should enroll a minimum of ten (10) students and graduate/doctoral courses should enroll a minimum of five (5) students. Course enrollment exceptions to these guidelines must be approved by the dean and the provost no later than five (5) working days prior to the beginning of the semester/term. ~~This policy applies to courses for which the primary mode of instruction is lecture, laboratory, or seminar. Small-size classes are undergraduate classes with fewer than 10 registered students and graduate classes with fewer than five registered students, per THECB Chapter 5, sections 5.23 (Definitions) and 5.26 (Offering of Small Classes by Public Universities). No small-size classes will be offered in any term except as approved by the Provost and authorized by the Board of Regents of Stephen F. Austin State University.~~

~~Small-size classes~~*Course enrollment exception request*~~s~~ ~~that~~ *must provide a rationale and could* ~~meet~~ *reflect* one or more of the following ~~requirements~~*circumstances* ~~may be~~*for approval consideration* ~~authorized to be taught~~:

- *1.* Required course for graduation (~~This~~ *The* course is not offered each semester or term and, if ~~cancelled,~~ *canceled*,~~.~~ may affect the date of graduation of those enrolled);
- *2.* Required course for majors in the field that should be completed in a given semester (term) in order to keep proper sequencing of courses;
- *3.* Course in a newly established degree program *(*~~yrs 1 & 2~~*years one and two)*, concentration, or support area;
- ~~Interdepartmental (cross-listed) courses taught as a single class by the same faculty at~~
- *4.* ~~the same~~*using an identical* ~~station~~*schedule/location/delivery mode*, provided that the combined courses do not constitute a small ~~class~~*enrollment course*;
- *5.* First time offering of a course;
- *6.* ~~Class size~~*Course enrollment* limited by accreditation or state licensing standards;
- *7.* ~~Class size~~*Course enrollment* limited by the availability of laboratory, ~~or~~ clinical facilities, *or practicum site(s)*;
- ~~Voluntarily offered by a faculty member in excess of the institutional teaching load~~
- *8.* requirement and for which the faculty member receives no additional compensation~~.~~*;*
- *9. Additional justifications for exceptions may be considered with the approval of the dean and provost.*

Procedure:

1. An academic unit head submits a ~~small-size class~~*course enrollment exception* ~~approval~~ *request* form to the appropriate dean requesting approval to offer ~~small-size class~~*small enrollment course*(es) *at least five working days prior to the beginning of the semester/term.*
2. The dean approves/disapproves the request and forwards the form to the associate provost.
3. The provost and *executive* vice president for academic affairs approves/disapproves the request and sends copies of the small class form to the dean, academic unit head, and the registrar.

Cross Reference: ~~Faculty Handbook;~~ Tex. Educ. Code § 51.403

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

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

Forms: ~~Small-size Class Approval~~*Course Enrollment Exception Request* Form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Code of Conduct

Policy Number: 10.4

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

Date of last revision, if applicable: 11/1/2021

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

Purpose of Policy (what does it do): This policy describes the expected conduct of SFA students, and the disciplinary process for students who are alleged to have violated those expectations.

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: Minor updates to office names

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for <u>each</u> substantive revision: 1. Deleted note of when the policy would go into effect. 2. Updated office name change.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Student Affairs Policy Committee
Brandon Frye, Vice President Student Affairs
Damon Derrick, General Counsel

Student Code of Conduct

Original Implementation: January 19, 1988
Last Revision: ~~November 1, 2021~~ *July 26, 2022*

~~This version of the Student Code of Conduct policy is effective January 1, 2022.~~

General Policy

Choosing to join the Stephen F. Austin (SFA) State University community obligates one to adhere to a code of behavior that embraces academic and personal integrity; respect for the dignity, rights and property of others; and an intolerance of discrimination and harassment. In keeping with this obligation, students and student organizations are expected to comply with the standards outlined in the Student Code of Conduct.

The SFA Way

The SFA community holds itself to a standard called The SFA Way. At its basis, The SFA Way encourages the entire university community to "strive for personal excellence in everything we do." The SFA Way encourages students to follow the principles of Respect, Caring, Responsibility, Unity, and Integrity.

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Article I: Definitions

1. The term "Advisor" means an individual serving as a guide for a Charged Student, Student Organization, or a Victim during the Student Conduct Process.
2. The term "Appeal" means the review by the designated Appeal Officer of the full record of the Student Conduct Process and the Sanctions imposed to determine the adequacy of the procedures used, determination of responsibility, and the fairness of the sanctioning.
3. The term "Appeal Officer" means a person or persons authorized by the Vice President of Student Affairs to consider an Appeal of an Outcome of the Student Conduct Process.

4. The term "Charged Student" means a Student who has been alleged to have violated one or more provisions within the Student Code of Conduct.
5. The term "Conduct Officer" means person authorized by the Vice President of Student Affairs to administer the Student Code of Conduct.
6. The term "Dean of Students" means the individual further designated by the Vice President of Student Affairs with responsibility for administering the Student Code of Conduct. For the purposes of this policy, "Dean of Students" may refer to that individual's designee.
7. The term "Dean of Students Office" means the department designated by the Vice President of Student Affairs for administering the Student Code of Conduct. The Office of Student ~~Rights and Responsibilities~~*Conduct and Outreach* is included within the Dean of Students Office.
8. The term "Email" means the University's recognized medium for means of communicating with Student or Student Organizations per SFA Policy 15.1, Email for University Communication.
9. The term "Faculty" or "Faculty Member" means a person hired by the University to conduct classroom or teaching activities or who is otherwise considered by the University to be a member of its faculty.
10. The term "Policy" means the written regulations of the University as found in, but not limited to, the University web page and online policy manuals.
11. The term "Reporting Party" means an individual who submits a report alleging a violation of this Student Code of Conduct. The Reporting Party and Victim may or may not be the same person.
12. The term "Student" includes all persons admitted to the University and are enrolled or are eligible to enroll at the University.
13. The term "Student Organization" means any number of Students who meet as a group, whether as a registered Student organization or as an unaffiliated Student organization, on campus or at a recognized University event. This may also include, but is not limited to, sports clubs, athletic teams, and other types of Student groups. The Student Organization's executive officer will serve as the representative for the Student Organization during the Student Conduct Process unless the Student Organization designates in writing to the Dean of Students Office another Student member to represent the Student Organization during the Student Conduct Process.
14. The term "University" means Stephen F. Austin State University.
15. The term "University Premises" includes all land, buildings, facilities, and other property in the possession of or owned, used, or controlled by the University (including adjacent streets and sidewalks).
16. The term "University Official/Staff Member" includes a person employed by the University.
17. The term "Vice President of Student Affairs" is the person designated by the University President to be responsible for the administration of the Student Code of Conduct.
18. The term "Victim" is any individual who has alleged injury or harm by an SFA Student or Student Organization. Victims are entitled to varying levels of participation in the Student Conduct Process, depending on the nature of the allegations. As articulated in the Family Educational Rights and Privacy Act (See 34 C.F.R. § 99.31 and 99.39) a victim who has been subject to Arson, Assault, Burglary, Criminal Homicide, Destruction/damage/vandalism of property, Kidnapping, Robbery, Forcible Sex Offences, or Non-forcible sex offenses (incest or statutory rape) is entitled to be notified of their rights

and of the outcome of the disciplinary process. All other victim rights articulated in this regulation apply to all victims.

Article II: Jurisdiction

This Student Code of Conduct shall apply to conduct that occurs on University Premises, at University sponsored activities, in electronic communities/instructional sites that exist because of or are associated with the University and off-campus conduct that adversely affects the University community and/or the pursuit of its objectives. The Student Code of Conduct shall apply to a Student or Student Organization's conduct even if a Student withdraws from the University while a disciplinary matter is pending. The Vice President of Student Affairs or designee shall decide whether the Student Code of Conduct shall be applied to conduct occurring off campus, on a case-by-case basis, at that individual's sole discretion. Student conduct that may be defined as sex-based misconduct may be reviewed under university policy 2.13 (Title IX).

Article III: Violations

1. Harm to others, including but not limited to:
    - **a.** Actions which cause or may cause injury, create conditions that cause injury, or which cause a reasonable apprehension of physical injury.
    - **b.** Endangering the physical health or safety of any person or actions that cause a reasonable apprehension of such harm.
    - **c.** Harassment (physical, verbal, graphic, written, or electronic) that is sufficiently severe, pervasive, or persistent to create an objectively hostile environment that interferes with or diminishes the ability of an individual to participate in or benefit from the services, activities, or privileges provided by the University. This provision shall not be used to discipline a Student or Student Organizations for speech protected by the First Amendment.
    - **d.** Physical violence of any nature against any person. This includes fighting; assaulting; battering; using a knife, gun, or other weapon; or acting in a manner that threatens or endangers the physical health or safety of any person or causes a reasonable apprehension of such harm.
    - **e.** Acts of animal cruelty, including but not limited to:
        - **i.** Intentionally, knowingly, or recklessly torturing, causing serious bodily injury to an animal, or killing an animal.
        - **ii.** Failing to provide necessary food, water or care for an animal in the person's custody.
        - **iii.** Abandoning an animal in the person's custody.
        - **iv.** Causing one animal to fight with another animal or overworking an animal in a manner that may cause serious bodily injury.
    - **f.** Sexual Harassment, Quid Pro Quo Sexual Harassment, Hostile Environment Sexual Harassment, Sexual Assault, Domestic Violence, Dating Violence, and Stalking as defined by SFA Policy 2.13, Title IX, and Other Sexual Harassment and Other Unprofessional/Inappropriate Conduct as defined by SFA Policy 2.11, Nondiscrimination.
    - **g.** Sexual Exploitation including but not limited to:

i. Taking non-consensual or abusive sexual advantage of another for the benefit of oneself or a third party.
ii. Photography or video recording of another person in a sexual, intimate, or private act without that person's full knowledge and consent.
iii. Purposeful distribution or dissemination of sexual or intimate images or recordings of another person without that person's full knowledge and consent.
iv. Sexual voyeurism.
v. Inducing another to expose one's genitals or private areas.
vi. Prostituting another Student.
vii. Engaging in sexual activity while knowingly infected with an STD.

h. Engaging in private or sexual acts in a publicly viewable location, such that it is offensive to accepted standards of decency. Including, but not limited to exposing one's genitals or private area(s), public urination, defecation, and/or public sex acts.

2. Hazing of any kind including but not limited to:

a. Any intentional, knowing, or reckless act occurring on or off campus by one person alone or acting with others, that endangers the mental or physical health or safety of a currently enrolled or prospective Student for the purpose of new member intake, being initiated into, affiliating with, holding office in, or maintaining membership in that organization.
b. Any type of physical brutality such as whipping, beating, striking, branding, electronic shocking, placing a harmful substance on the body, or similar activity.
c. Any type of activity which involves sleep deprivation, exposure to the elements, confinement in a small space, calisthenics or other similar activity that subjects the Student to an unreasonable risk of harm or that adversely affects the mental or physical health or safety of the Student.
d. Any activity which involves consumption of a food, liquid, alcoholic beverage, liquor, drug or other substance that subjects the Student to an unreasonable risk of harm or that adversely affects the mental of physical health of the Student.
e. Any activity that induces, causes, or requires the Student to perform a duty or task which involves a violation of the Penal Code.
f. Any activity that involves coercing the Student to consume drugs or alcoholic beverage or liquor in any amount that would lead a reasonable person to believe the Student is intoxicated.
g. Soliciting, encouraging, aiding or directing another engaging in hazing.
h. Intentionally, recklessly or knowingly permitting hazing to occur.
i. Having first-hand knowledge that a specific hazing incident is being planned or has occurred and failing to report said knowledge in writing to the Dean of Students, SFA Police, SFA Fraternity and Sorority Life or the Office of Student ~~Rights and Responsibilities~~*Conduct and Outreach*.
j. Any other violation of SFA Policy 10.3, Hazing.

3. Dishonesty of any kind, including but not limited to:

a. Providing false or misleading information to the University.
b. Providing false or misleading information to a University Official or Faculty.
c. Forgery, alteration, or misuse of any documents, records, identification, access cards, or keys.

- **d.** Unauthorized possession, duplication or use of keys, access cards, or identification cards.
- **e.** Any action taken to deceive University Officials or Faculty regarding one's identity.

4. Harm to Property including but not limited to:

- **a.** Vandalism of or damaging University property or property of another others.
- **b.** Theft of any kind, including seizing, possessing, selling, or concealing property with knowledge that it has been stolen.
- **c.** Unauthorized entry into, presence in, or use of University facilities, equipment, or property.
- **d.** Any tampering, removal, and/or damage to fire and safety equipment on University property (e.g., residence halls, student center, campus recreation center and all academic buildings, etc.). Tampering includes pulling false fire alarms, discharging fire extinguishers, removing exit signs, and interfering with smoke detectors and sprinklers.
- **e.** Using or possessing any University key or access card without proper authorization. No Student or Student Organization is allowed to have a University key duplicated without prior permission from faculty or staff with authority to provide that permission.
- **f.** Obstruction of the free flow traffic on University premises or at University-sponsored or supervised activities.
- **g.** Posting of commercial advertising on University property without approval from University Officials.

5. Disorderly Conduct including but not limited to:

- **a.** Disruption or Interference of Students, faculty, administration, staff, the educational mission, or routine operations of the University.
- **b.** Commercial solicitation on campus or with University resources without prior approval from University officials.
- **c.** Failure to comply with a reasonable and lawful request or directive of University Officials.
- **d.** Facilitation of Student misconduct including but not limited to assisting, conspiring, soliciting, or encouraging others to engage in conduct which violates the Student Code of Conduct.
- **e.** Conducting, organizing, or participating in any activity involving games of chance or gambling except as permitted by law and University policy.
- **f.** Driving in a manner that recklessly endangers the health and/or safety of oneself or others on campus. This may include but is not limited to the operation of a vehicle, bicycle, skateboard, scooter, and other mobile devices.
- **g.** Failure to present proper identification upon request by University Officials or Faculty, including law enforcement officers.

6. Misuse of Computing Resources including but not limited to:

- **a.** Failure to comply with University policies, license agreements, or contracts.
- **b.** Unauthorized alteration or destruction of computer equipment, software, network, data or system performance.
- **c.** Unauthorized copying or distribution of University data.
- **d.** Use of University resources for unauthorized commercial purposes or personal gain.
- **e.** Harmful access, or invasion of privacy.

- **f.** Use of computing facilities and resources to interfere with the work of another Student, faculty member, staff member or University Official.

7. Obstruction of the Student Conduct process which includes but is not limited to:
- **a.** Colluding with or intimidating witnesses.
- **b.** Providing false or incomplete information that may mislead an investigation/hearing or intentionally omitting relevant information from an investigation or hearing.
- **c.** Deliberately disrupting or interfering with the Student Conduct process.
- **d.** Tampering with information to be used in a Student Conduct process.
- **e.** Attempting to influence the impartiality of a Student Conduct Hearing Board member.
- **f.** Violating and/or failing to comply with Sanctions assigned through the Student Conduct process.
- **g.** Retaliation against any individual for filing a complaint or report of alleged violations of the Student Code of Conduct or otherwise participating in the student conduct process.

8. Prohibited possession or use of alcohol which includes but is not limited to:
- **a.** Possession or consumption of alcohol while under the age of 21.
- **b.** Purchasing, providing, or distributing alcohol to any individual who is under the age of 21.
- **c.** Possession and/or use of a common source (keg, beer bongs, etc.) on University property or at a University sanctioned or sponsored event.
- **d.** Possessing, furnishing, or consuming alcohol in unauthorized areas of the University.
- **e.** Operating a motor vehicle or another form of transportation while intoxicated or while under the influence of alcohol as defined by state law.
- **f.** Participation in or hosting of drinking games which involve the consumption of alcoholic beverages on University property or at a University sanctioned or sponsored event.

9. Prohibited possession or use of drugs which includes but is not limited to:
- **a.** Possession or use of any controlled substance, controlled substance analogues, and/or drug paraphernalia prohibited by SFA Policies or of any federal, state, or local law or ordinance.
- **b.** Abusing legally obtained drugs by failing to take the drug as directed.
- **c.** Misuse of non-controlled substances not intended for human consumption (i.e. spice, bath salts, rubbing alcohol) or not in compliance with manufacturer specifications.
- **d.** Sale or distribution of narcotics, prescription drugs, controlled substances, controlled substance analogues, or drug paraphernalia

10. Conduct which could constitute a violation SFA Policy or of any federal, state, or local law or ordinance including, but not limited to:
- **a.** The use or sale of all tobacco and vape products as defined and prohibited by SFA Policy 13.21, Smoking Vaping and Use of Tobacco Products.
- **b.** Violations of SFA Policy 13.9, Firearms, Explosives, and Ammunition policy.
- **c.** Violations of Residence Life Community Guidelines.

Article IV: The Student Conduct Process

The following rules of procedure in student disciplinary matters are adopted to ensure that the

University will fulfill the requirements of procedural Due Process in student conduct proceedings, outlined in the Student Code of Conduct. These rules of procedure shall be followed in any disciplinary proceeding, subject to the authority of the Board of Regents and the authority delegated to the President of the University to exercise jurisdiction over disciplinary matters of the University. Cases involving sex-based misconduct, including, but not limited to, sexual violence, domestic/dating violence, and/or stalking may be investigated according to SFA Policy 2.13 (Title IX).

The burden of proof in the Student Conduct process is by a preponderance of the evidence, defined as evidence which leads a reasonable person to conclude something is more likely than not.

1. **Determination of Charges**
    - **a.** Alleged violations of the Student Code of Conduct may be reported to the Dean of Students Office by anyone, including but not limited to, University Police or other University departments, faculty, staff, Students, or third parties. Reports may be sent anonymously; however, this may significantly limit the University's ability to investigate, collect evidence, or take effective action.
    - **b.** The Dean of Students Office will review available information to determine if a Student or Student Organization will be charged with a violation of the Student Code of Conduct. The Dean of Students may gather additional information if deemed necessary to assist in their determination.
    - **c.** The Dean of Students may choose to withdraw charges if, at any point in the Student Conduct Process, they are no longer deemed warranted.
2. **Educational Conference**
    - **a.** Once a Student or Student Organization has been charged with an alleged violation of the Student Code of Conduct, the first step in the process is an Educational Conference. The Educational Conference is not a hearing. The purpose of the Educational Conference is for a Conduct Officer to review with the Charged Student or Student Organization, and any Victim, the allegations and charges, their rights, the Student conduct process, possible sanctions, and to answer questions. During the Educational Conference the Charged Student or Student Organization will be given the opportunity to accept responsibility for the charges and any assigned sanctions, if applicable.
        - **i.** If the Charged Student or Student Organization accepts responsibility for the charge(s) and any assigned sanctions, then the Charged Student or Student Organization will be asked to sign the Educational Conference form indicating that individual's acceptance and their waiving of their right to a hearing and appeal. The Charged Student or Student Organization and any victim will then receive an email documenting their acceptance of responsibility and assigned sanctions within five (5) business days from the Dean of Students Office.
        - **ii.** If the Charged Student or Student Organization does not accept responsibility for the charge(s) or does not agree with the assigned sanctions, then the Charged Student or Student Organization will be asked to sign the Educational Conference form indicating that decision and the case will be referred to a Student Conduct Hearing

iii. If the Charged Student or Student Organization fails to attend an Educational Conference or complete the Educational Conference Form, the case will be referred to a Student Conduct Hearing

3. **Student Conduct Hearing**

Charged Students or Student Organizations who choose to not accept the outcome of the Educational Conference or do not participate in the Educational Conference, will be referred to a Student Conduct Hearing.

a. **Hearing Notification**: The Dean of Students Office shall provide notice of the hearing to the Charged Student or Student Organization's SFA email. The notice will set forth the date, time, and place of the hearing; the charges assigned; and the rights of the Student or Student Organization. The Charged Student or Student Organization will be informed that an Advisor may be present during the hearing. The Student or Student Organization must notify the Dean of Students Office if an attorney will serve as an Advisor to allow a representative from the University's General Counsel's Office to attend. The notice shall be given at least five (5) business days prior to the Student Conduct Hearing. Failure to do so may result in the hearing being rescheduled. Any request to reschedule shall be made in writing to the Dean of Students Office, who has the authority to reschedule the hearing for good cause. Failure to attend the Student Conduct Hearing will lead to the case being heard in the Charged Student or Student Organization's absence. A Charged Student or Student Organization's lack of attendance shall not be used against the Charged Student or Student Organization in any determination of responsibility and/or sanctions.

b. **Victim Hearing Notification**: In cases with a Victim, The Dean of Students Office shall provide notice of the hearing through email. The notice will set forth the date, time, and place of the hearing and the charges assigned. The notice shall be given at least five (5) business days prior to the Student Conduct Hearing. This notification will also advise the victim of his or her rights in the Student conduct process, including but not limited to, the right to submit a list of questions, the right to submit a victim impact statement, the right to request a copy of his or her record, the right to an Advisor, and the right to provide information in a separate room from the Charged Student or Student Organization.

c. **Student Conduct Hearing Board:** The Dean of Students Office will choose at least 3 individuals, with at least 1 Faculty/Staff and 1 Student, who are available to serve on the Student Conduct Hearing Board. These Student Conduct Hearing Board members are comprised of those appointed to serve on the Student Conduct Hearing Board. Student Conduct Hearing Board Members are appointed to the Student Conduct Hearing Board by the Vice President of Student Affairs. All appointments are for one (1) academic year. Faculty, Staff, and Students may serve an unlimited number of terms.

d. **Pre-Hearing Information:** The Dean of Students Office will make available pre-hearing information including copies of records that will be presented by the University at the hearing, and a list of potential University witnesses, and a summary of the information the witness(es) may provide. The pre-hearing information will be available at least three business days in advance of the hearing. The Charged Student or Student Organization must provide the Dean of Students Office with a list of potential witnesses and copies of any records that they will present at the hearing at

least two (2) business day in advance of the hearing. Evidence and/or witnesses that are not provided at least two (2) business day before the hearing will only be included in the hearing at the discretion of the Student Conduct Hearing Board Chair.

e. Advisors: An Advisor may accompany a Charged Student or Student Organization or a Victim in a Student Conduct Hearing. An Advisor may not directly participate in the Student Conduct Hearing in any capacity other than providing advice and support to the Charged Student or Student Organization or Victim they are accompanying. A Charged Student or Student Organization and a Victim may select anyone to serve as their Advisor as long as this individual is not a witness to or involved in the case. A Charged Student or Organization and a Victim may only have one Advisor present during a Student Conduct Hearing. If the chosen Advisor is an attorney, the Charged Student or Student Organization or Victim must inform the Dean of Students Office at least two (2) business days in advance of the Student Conduct Hearing to allow for a representative of the University General Counsel's Office to attend. Failure to do so may result in the hearing being rescheduled. For the purposes of this policy, an Advisor who is involved in any other part of the Student Conduct Process shall be held to these standards.

f. Role of Hearing Board Chair: A Faculty or Staff Student Conduct Hearing Board member, in attendance at the Student Conduct Hearing, will serve as the Hearing Board Chair. The Hearing Board Chair manages the Student Conduct Hearing Board and is responsible for the decorum of the hearing, and to ensure that all procedures are properly followed. Each person in attendance is expected to exhibit proper dignity, courtesy, and respect. The chair may dismiss any person from the hearing who interferes, obstructs, or fails to abide by the rulings of the chair. Procedural questions which arise during the hearing not covered by these general rules shall be determined by the chair, whose ruling shall be final unless the chair presents the question to the committee, in which by majority vote shall be final. In case of a tie and a majority is unable to be reached, the vote of the Hearing Board Chair is the deciding vote. The chair may also seek guidance from the Dean of Students Office as needed.

g. Order of Proceedings During the Student Conduct Hearing: The Hearing Board Chair will facilitate the Student Conduct Hearing, determine the presence or absence of the Charged Student or Student Organization and/or Victim, verify the alleged misconduct, determine the presence of an Advisor, and explain any additional procedures to be employed during the hearing. The hearing will be recorded in either audio or video format.

The Charged Student or Student Organization will be given the opportunity to provide an opening statement. This is the opportunity for the Charged Student or Student Organization to state their case and present their evidence. After the Charged Student or Student Organization provides their opening statement, the Student Conduct Hearing Board and any Victim will be given the opportunity to question the Charged Student or Student Organization.

The Dean of Students' and the Charged Student or Student Organization's witnesses, if any, will then be called to provide a statement, present any evidence they may possess, and answer questions posed by the Student Conduct Hearing Board and the

Charged Student or Student Organization, and any Victims if applicable. The Dean of Students Office is unable to compel individuals to serve as a Witness. The Charged Student or Student Organization will be responsible for notifying their Witness(es) of the time, date, and location of the Student Conduct Hearing. Witnesses may participate in person, by telephone, or virtually if needed. Only one Witness will be allowed to participate in the Student Conduct Hearing at a time. The Hearing Board Chair may limit the number or disallow completely, character witnesses that have no direct knowledge of the alleged misconduct.

All questions asked by the Charged Student or Student Organizations, Victim, and any Witnesses must be directed to the Chair to determine if they are relevant and appropriate for the case.

After all Witnesses and evidence has been presented, the Charged Student or Student Organization may make a closing statement.

The Student Conduct Hearing Board will then convene in closed session to determine if the Charged Student or Student Organization is responsible or not responsible for the alleged violations of the Student Code of Conduct. If a finding of responsible is made for any of the alleged violations, The Student Conduct Hearing board will determine recommended sanctions. Determination and recommendation of Sanctions are outlined in the Sanctions section of this document (Article V).

The outcome of the Student Conduct Hearing will be sent to the Charged Student or Student Organization, and any victim, through email within five (5) business days following the close of the hearing. This time may be extended for deliberations when necessary and the Charged Student or Student Organization shall be notified of any such extensions. The outcome letter shall contain a decision on each charge, any findings of fact and any applicable sanctions. The Charged Student or Student Organization may appeal a finding of responsible within five (5) business days as outlined in the appeal section of these procedures.

Hearings are closed to the public and all information presented in the hearing is confidential and restricted to only those who have an absolute need to know. In cases involving multiple Charged Students or Student Organizations from the same incident, information obtained at one hearing may be used at another hearing.

Article V: Sanctions

Charged Student or Student Organizations who accept responsibility or are found responsible for violations of the Student Code of Conduct, will be assigned sanctions based on the violation, any aggravating or mitigating circumstances, and prior violations of the Student Code of Conduct. The Conduct Officer/Student Conduct Hearing Board will recommend sanctions to the Dean of Students or designee, who will make a final determination of sanctions. Recommended sanctions may be adopted, modified, or rejected. When recommended sanctions are not adopted by the Dean of Students or designee, the Dean of Students or designee shall provide the Charged Student or Student

Organization with the reasons for not adopting the recommendations in writing. One or more of the following sanctions may be assigned for violations of the Student Code of Conduct:

1. **Disciplinary Reprimand**: a written disciplinary sanction notifying a Student or Student Organization that the behavior did not meet University standards. All disciplinary reprimands will be taken into consideration if further violations occur.
2. **Disciplinary Probation**: a written disciplinary sanction notifying a Student or Student Organization that the behavior is in serious violation of University standards. Any additional violations occurring during a probationary period may result in more severe sanctions. In addition, restrictions may be placed on a Student or Student Organization's activities.
3. **Educational Requirements**: a Student or Student Organization is required to complete a specified educational sanction related to the violation committed. Such educational requirements may include, but are not limited to, completion of a seminar, written assignment, alcohol or drug assessment, and/or presentation. Fines may be associated with Educational Requirements due to the cost of the assigned assessment/program.
4. **Special Action:** A sanction designed to enhance the educational intent of the disciplinary process. Examples of sanctions include, but are not limited to restitution, community service, counseling suggestions, and restrictions or removal from academic courses, University housing, or extracurricular activities.
5. **Suspension:**
    a. A Student who is suspended is required to leave the University for a specified period of time. The Student must comply with all sanctions and complete all requirements prior to re-admission. During the suspension period the Student may not visit or come onto any SFA campus or attend any SFA sanctioned or sponsored event without specific written permission of the Vice President of Student Affairs and the SFA Chief of Police. While serving a suspension a Student is not in good standing.
    b. A Student Organization that is suspended is required to cease all activity during the specified time period. During this time, they are not recognized by the University as outlined in SFA Policy 10.9, Student Organization Formation and Recognition. Special Actions may also be attached to the suspension to enhance the educational intent of the disciplinary process. Suspended Student Organizations must submit a new application as an organization at the end of the suspension period.
    c. In certain situations, the Suspension may be placed in a deferred status.
6. **Expulsion:** A Student who is expelled is permanently barred from attending the University and is ineligible for readmission to the University. The Student may not visit or come onto any SFA campus or attend any SFA sanctioned or sponsored event without specific written permission of the Vice President of Student Affairs and the SFA Chief of Police.

Article VI: Appeals

Charged Students or Student Organizations who are found responsible by a Student Conduct Hearing Board have the right to appeal based on certain criteria. Appeals must meet one or more of the following grounds:

1. The information contained within the case does not support the finding of responsible.
2. The assigned sanctions are not appropriate for the violation(s).

3. The Student or Student Organization's rights, as outlined by this policy, were violated.

The Charged Student or Student Organization must submit an appeal to the Vice President of Student Affairs within five (5) business days of the outcome letter being sent from the Dean of Students. This appeal must describe why they feel their case meets one of the appeal criteria listed.

The Vice President of Student Affairs or Designee may uphold the decision and/or sanctions, modify the decision and/or sanctions, or remand the case for a new hearing. Unless the appeal decision is to remand the case, the appeal decision is considered the final decision of the University. The Charged Student or Student Organization will receive the outcome of the appeal through email.

Article VII: Interim Measures

The Dean of Students may assign Interim Measures to a Student or Student Organization if it is determined that the continued presence or actions of a Student or Student Organization poses a substantial threat of harm or bodily injury, damage to property, or threat to the stability and continuance of normal University functions. The Interim Measure will take effect immediately without prior notice to the Student or Student Organization. Interim Measures may include, but are not limited to, interim suspension, restrictions, removal from on-campus housing, or no contact directives. Interim Measures may be lifted by the Dean of Students when deemed appropriate.

In cases of interim suspension, restrictions, or removal from on-campus housing, unless waived in writing by the Student or Student Organization, the Student or Student Organization will have a post-removal hearing with the Dean of Students or designee regarding the Interim Measure. The scope of this hearing is limited solely to the determination of whether that Student or Student Organization's presence or continuation of activities adversely affects the health, safety or welfare of the University community. The Student or Student Organization will be provided with an explanation of the evidence on which the University based its decision concerning the Interim Measure and an opportunity to respond.

Article VIII: Records

All hearings, and records pertaining to hearings, will be considered education records and treated as designated by law. Student or Student Organization conduct records are kept for seven years after the final outcome of the Student Conduct Process. Records for cases where a Student or Student Organization has been expelled or suspended are held permanently.

Disciplinary actions which result in suspension or expulsion from the University and prevent enrollment will be noted on the academic transcript. Information will include the specific sanction (suspension or expulsion) along with the effective dates of the sanction.

There will be no disclosure of file contents outside of the University without the written permission of the Student, unless required or allowed by law. Disclosure within the University is limited to those employees having legitimate need of the information to conduct University business. A Student or Student Organization may make a written request for a personal copy of their incident report and receive a redacted copy. Disclosure to victims of violent crimes, nonforcible sex offenses or other offenses with reporting requirements will be handled according to law. All hearings are closed to the

public.

Article IX: Non-discrimination, Interpretation, and Revision

Decisions rendered according to this policy will be made based on observations of a Student's conduct, actions and statements and not on the basis of a student's race, color, religion, national origin, sex, age, disability, genetic information, citizenship, veteran status, sexual orientation, gender identity, or gender expression.

Any Student with a disability may request reasonable accommodations during the disciplinary process. If accommodations are desired, this request must be made to SFA Disability Services at least three business days in advance of the hearing. If necessary the Hearing Board Chair, or the Dean of Students or designee, may postpone the hearing to provide reasonable accommodations.

Any question of interpretation or application of the Student Code of Conduct shall be referred to the Vice President of Student Affairs or designee for final determination.

The Student Code of Conduct shall be reviewed annually under the direction of the Vice President of Student Affairs or designee.

Cross Reference: Tex. Educ. Code §§ 51.9315, .936, .9364; Fraud (2.7); Nondiscrimination (2.11); Title IX (2.13); Student Academic Dishonesty (4.1); Reproduction of Copyrighted Works by Educators and Librarians (9.2); Digital Millennium Copyright (9.3); Hazing (10.3); Student Organization Formation and Recognition (10.9); Student Involuntary Withdrawal (10.13); Annual Disclosure of Crime Statistics (13.3); Illicit Drugs and Alcohol Abuse (13.11); Firearms Explosives and Ammunition (13.9); Acceptable Use of Information Technology Resources (14.2); Residence Life Community Guidelines

Responsible for Implementation: Vice President of Student Affairs

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

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Texas Comprehensive Research Fund

Policy Number: 8.10

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: ORGS Dean

Purpose of Policy (what does it do): States what the Comprehensive Research Program at SFA can be used for.

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: 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

Texas Comprehensive Research Fund

Original Implementation: January 19, 2006
Last Revision: July ~~23, 2019~~*26, 2022*

The Texas Comprehensive Research Fund can only be used for activities at eligible general academic teaching institutions "that promote increased research capacity" at the institution (Texas Education Code §62.097).

The Comprehensive Research Program (CRP) at Stephen F. Austin State University uses these funds to directly support the university's research agenda and to increase competitiveness in acquiring external funds for research and development.

Therefore, use of CRP funds will be limited to research and development activities as defined by the Texas Higher Education Coordinating Board (Texas Administrative Code, Part 1, Chapter 13, Subchapter G, Rule §13.122):

- Research means "a systematic study directed toward fuller scientific knowledge or understanding of the subject studied."
- Development means "the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes."
- Curriculum development activities are also eligible for funding when "the primary purpose of the project is developing and testing an instructional or educational model through appropriate research methodologies (i.e., data collection, evaluation, dissemination, and publication)."

~~Comprehensive Research Program~~*CRP* funds cannot be used to supplant funds for research activities or to purchase or maintain equipment supported by other sources.

In the expenditure of ~~Comprehensive Research Program~~*CRP* funds, recipients are subject to all university policies and procedures, and local, state, and federal regulations.

Before initiating research that involves human subjects, vertebrate animals, or hazardous materials, researchers must obtain written approval from the chair of the appropriate university board or committee.

Recipients of ~~Comprehensive Research Program~~*CRP* funds must meet deadlines for deliverables, including annual reports, as required by the Office of Research and Graduate Studies (ORGS).

Publications resulting from the CRP will acknowledge the source of funds as the Stephen F. Austin State University Comprehensive Research Program. Copies of publications will be

submitted to ORGS and the Center for Digital Scholarship in the Steen Library.

Deans submit requests for ~~Comprehensive Research Program~~*CRP* funds on behalf of their faculty and research staff to the director of ORGS who makes awards based on criteria established by the director and the provost and *executive* vice president for academic affairs. For awards of $50,000 or greater, the director makes recommendations for funding to the provost and *executive* vice president for academic affairs.

Cross Reference: Human Research Subjects Protection (8.4); Institutional Animal Care and Use Committee (IACUC) (8.6); Recombinant DNA and/or Infectious Biohazards in Teaching and Research (8.9); Tex. Educ. Code §§ 62.091-.098; 19 Tex. Admin. Code §§ 13.120-.127

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

Contact for Revision: Dean, 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: Title IX

Policy Number: 2.13

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: President

Purpose of Policy (what does it do): Establish process and procedure for implementation of Title IX of the Education Amendments of 1972.

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: To ensure compliance with current regulation and laws as well as the CLERY Act and Violence Against Women Act.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Lissy Turner, Title IX Coordinator
Michara DeLaney-Fields, Chief Diversity Officer
Steve Westbrook, Interim President
Damon Derrick, General Counsel

Title IX

Original Implementation: July 27, 2015
Last Revision: July ~~27, 2021~~*26, 2022*

III. Policy Statement

~~A. *Statement of Nondiscrimination*~~

Stephen F. Austin State University (the "University") is committed to providing an educational and employment environment free of unlawful sex discrimination. Consistent with Stephen F. Austin State University's Non-Discrimination Notice and the U.S. Department of Education's implementing regulations for Title IX of the Education Amendments of 1972 ("Title IX"), the University prohibits Sexual Harassment that occurs within its Education Programs and Activities.

As further defined below, for purposes of this Policy, Sexual Harassment includes Quid Pro Quo Sexual Harassment, Hostile Environment Sexual Harassment, Sexual Assault, Domestic Violence, Dating Violence, and Stalking.

Administrators, faculty members, staff, students, contractors, guests, and other members of the University community who commit Sexual Harassment are subject to the full range of ~~University~~*university* discipline.

IV. Scope

This Policy applies to Sexual Harassment, as defined below, that occurs within the University's Education Programs and Activities and that is committed by an administrator, faculty member, staff, student, contractor, guest, or other member of the University Community *within the United States*.

Non-Discrimination in Application: The requirements and protections of this policy apply equally regardless of sex, sexual orientation, gender identity, gender expression, or other protected classes covered by federal or state law. All requirements and protections are equitably provided to individuals regardless of such status or status as a Complainant, Respondent, or Witness. Individuals who wish to file a complaint about the institution's policy or process may contact the Department of Education's Office for Civil Rights using contact information available at https://ocrcas.ed.gov/contact-ocr. Pg. 1.

Disability Accommodations: This Policy does not alter any institutional obligations under federal disability laws including the Americans with Disabilities Act of 1990, and Section 504 of the Rehabilitation Act of 1973. Parties may request reasonable accommodations for disclosed disabilities to the Title IX Coordinator at any point before or during the Title IX process that do not fundamentally alter the process. The Title IX Coordinator will not affirmatively provide disability accommodations that have not been specifically requested by the Parties, even where the Parties may be receiving accommodations in other institutional programs and activities.

V. Definitions

I. **"Sexual Harassment"** for purposes of this Policy is conduct on the basis of sex that constitutes Quid Pro Quo Sexual Harassment, Hostile Environment Sexual Harassment, Sexual Assault, Domestic Violence, Dating Violence, or Stalking.

J. **"Quid Pro Quo Sexual Harassment"** occurs when an employee ~~or student~~ of the University conditions the provision of aid, benefit, or service of the University on an individual's participation in unwelcome sexual ~~contact~~*conduct*.

K. **"Hostile Environment Sexual Harassment"** is unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person access to the University's education programs and activities.

L. **"Sexual Assault"** includes the sex offenses of Rape, Sodomy, Sexual Assault with an Object, Fondling, Incest, and Statutory Rape.[1]

1. **"Rape"** is the carnal knowledge of a person, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental or physical incapacity. ~~There is "carnal knowledge" if there is penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim. Attempted Rape is included.~~

2. **"Sodomy"** is oral or anal sexual intercourse with another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental or physical incapacity.

~~3.~~ **"Sexual Assault with an Object"** is using an object or instrument to unlawfully penetrate, however slightly, the genital or anal opening of the body of another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental or physical incapacity. ~~An "object" or "instrument" is anything used by the offender other than the offender's genitalia.~~

3.

4. **"Fondling"** is the touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her

[1] The University's definition of "Sexual Assault" is mandated by federal regulations implementing Title IX of the Education Amendments of 1972. Those regulations require the University to adopt a definition of "Sexual Assault" that incorporates various forcible and non-forcible sex crimes as defined by the FBI's Uniform Crime Reporting System. See 34 C.F.R. § 106.30(a)*(3)*. When applicable, we have included the state law definition. In any criminal action brought by law enforcement, the state law definition will apply.

age or because of his/her temporary or permanent mental or physical incapacity.

5. **"Incest"** is sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by Texas law.

6. **"Statutory Rape"** is sexual intercourse with a person who is under the statutory age of consent as defined by Texas law.

M. **"Domestic (Family) Violence"** is felony or misdemeanor crimes ~~of violence~~ committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or *who* has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of Texas[2], or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of Texas. *This includes the use or attempted use of physical abuse or sexual abuse, or a pattern of any other coercive behavior committed, enabled, or solicited to gain or maintain power and control over a victim, including verbal, psychological, economic, or technological abuse that may or may not constitute criminal behavior, by a person who is:*

- *a current or former spouse or intimate partner of the victim, or person similarly situated to a spouse of the victim;*
- *is cohabitating, or has cohabitated, with the victim as a spouse or intimate partner;*
- *with whom the victim shares a child in common; or*
- *commits acts against youth or adult victim who is protected from those acts under the family and domestic violence laws of Texas.*

It should be understood that domestic violence/dating violence applies to any pattern of coercive behavior that is used by one person to gain power and control over a current or former intimate partner or dating partner. This pattern of behavior may

[2] Family Violence is defined by the Texas Family Code Section 71.004 as:
(1) an act by a member of a family or household against another member of the family or household that is intended to result in physical harm, bodily injury, assault, or ~~Sexual Assault~~*sexual assault* or that is a threat that reasonably places the member in fear of imminent physical harm, bodily injury, assault, or ~~Sexual Assault~~*sexual assault*, but does not include defensive measures to protect oneself;
(2) abuse, as that term is defined by Sections 261.001(1)(C), (E), and (G), by a member of a family or household toward a child of the family or household; or
(3) Dating violence, as that term is defined by Section 71.0021.

include physical or sexual violence, emotional and psychological intimidation, threats, verbal abuse, stalking, isolation, and economic control.

N. **"Dating Violence"** [3] is violence committed by a person:

1. Who is or has been in a social relationship of a romantic or intimate nature with the victim; and

2. Where the existence of such a relationship will be determined based on a consideration of the following factors:

   - The length of the relationship;
   - The type of relationship; and
   - The frequency of interaction between the persons involved in the relationship.

O. **"Stalking"** is engaging in a course of conduct directed at a specific person that would cause a reasonable person to:

- Fear for their safety or the safety of others; or
- Suffer substantial emotional distress.

For the purposes of this definition—

1. *Course of Conduct* means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, or communicates to or about a person, threats~~,~~ that a reasonable person would regard as threatening bodily injury or death of that person, their family members including someone with whom the person is dating or interferes with that person's property.

[3] Dating violence is defined by the Family Code, Section 71.0021 as:
(a) an act, other than a defensive measure to protect oneself, by an actor that:
(1) is committed against a victim:
(A) with whom the actor has or has had a dating relationship; or
(B) because of the victim's marriage to or dating relationship with an individual with whom the actor is or has been in a dating relationship or marriage; and
(2) is intended to result in physical harm, bodily injury, assault, or Sexual Assault or that is a threat that reasonably places the victim in fear of imminent physical harm, bodily injury, assault, or Sexual Assault.
(b) For purposes of this title, "dating relationship" means a relationship between individuals who have or have had a continuing relationship of a romantic or intimate nature. The existence of such a relationship shall be determined based on consideration of:
(1) the length of the relationship;
(2) the nature of the relationship; and
(3) the frequency and type of interaction between the persons involved in the relationship.
(c) A casual acquaintanceship or ordinary fraternization in a business or social context does not constitute a "dating relationship" under Subsection (b).

2. *Reasonable Person* means a person under similar circumstances and with similar identities to the person subjected to the stalking behavior would fear for their safety or the safety of others, or suffer substantial emotional distress.

3. *Substantial Emotional Distress:* Significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

H. ***"Economic Abuse"*** *in the context of domestic violence and dating violence means behavior that is coercive, deceptive, or unreasonably controls or restrains a person's ability to acquire, use, or maintain economic resources to which they are entitled, including using coercion, fraud, or manipulation to:*

i. Restrict a person's access to money, assets, credit, or financial information;
ii. Unfairly use a person's personal economic resources, including money, assets, and credit, for one's own advantage; or
iii. Exert undue influence over a person's financial and economic behavior or decisions, including forcing default on joint or other financial obligations, exploiting powers of attorney, guardianship, or conservatorship, or failing or neglecting to act in the best interests of a person to whom one has a fiduciary duty.

I. ***"Technological Abuse"*** *means an act or pattern of behavior that occurs within domestic violence, sexual assault, dating violence or stalking and is intended to harm, threaten, intimidate, control, stalk, harass, impersonate, exploit, extort, or monitor, except as otherwise permitted by law, another person, that occurs using any form of technology, including but not limited to:*

i. Internet enabled devices, online spaces and platforms, computers, mobile devices, cameras and imaging programs, apps, location tracking devices, or communication technologies, or any other emerging technologies.

J. ***"Reasonable Person"*** *a hypothetical person that is used as a comparative standard regarding the action(s) or situation of another individual and whether or not the approach taken or not taken was appropriate given the circumstances. This comparative standard is used in addition to the definition of "stalking".*

K. ***"Relevant"*** *- evidence pertinent to proving whether facts material to the allegations under investigation are more or less likely to be true. "Relevant" evidence and questions refer to any questions and evidence that tends to make an allegation of sexual harassment more or less likely to be true. "Relevant" evidence and questions do not include the following types of evidence and questions, which are deemed "irrelevant" at all stages of the Title IX Process:*

a. Evidence and questions about the complainant's sexual predisposition or prior sexual behavior unless:
i. They are offered to prove that someone other than the respondent committed the conduct alleged by the complainant, or
ii. They concern specific incidents of the complainant's prior sexual behavior

with respect to the respondent and are offered to prove consent. 34 C.F.R. § 106.45(6)(i).

b. Evidence and questions that constitute, or seek disclosure of, information protected under a legally-recognized privilege.

c. Any party's medical, psychological, and similar records unless the party has given voluntary, written consent. 85 Fed. Reg. 30026, 30294 (May 19, 2020)

L. ***"Mandatory Reporter"****-All University Employees, with the exception of Confidential Employees, operating in the scope of their employment who witness or receive information regarding an incident that the employee reasonably believes constitutes Sexual Harassment, Sexual Assault, Dating Violence, and/or Stalking and has been alleged to have been committed by or against a person who was a student enrolled at or an employee of the University at the time of the incident.*

~~H.~~*M.* **"Consent"** is a *clear* voluntary, ongoing, mutual understanding among all participants that clearly indicates a willingness, through words or ~~clear unambiguous~~*physical* actions, and demonstrates a knowing, intentional agreement to engage in each *specific* instance and stage of sexual *contact or* activity. Knowledge of consent is the responsibility of each person involved in every instance of sexual *contact and/ or* activity and consent can be withdrawn at any time. A person who is *Coerced and/or* Incapacitated is not capable of giving Consent. *Consent cannot be inferred from silence, absence of resistance, or lack of protest.*

The following list provides examples of when Consent has not been obtained or is not effective:

- Consent is not effective when any participant in the sexual activity is unsure if a knowing, intentional, voluntary agreement to engage in each act of sexual activity has been demonstrated.

- Consent is not effective if one person knew or reasonably should have known that another person involved was incapacitated.

- Consent to one act does not imply consent to another; past consent does not imply future consent.

- Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another.

- Any expression of an unwillingness to engage in any instance of sexual activity establishes a presumptive lack of consent.

- Consent is not effective if it results from: (a) the use of physical force, (b) a threat of physical force, (c) Intimidation,[4] (d) Coercion, (e) Incapacitation or (f) any

[4] *Intimidation* means intentional behavior that would cause a reasonable person to fear injury or harm.

other factor that would eliminate an individual's ability to exercise their own free will to choose whether or not to have sexual activity.

- A current or previous dating or sexual relationship ~~or manner of dress~~ does not, by itself, constitute consent. Even in the context of a relationship, there must be a voluntary, mutually understandable agreement that clearly demonstrates a willingness to engage in each instance of sexual activity.

- *An individual's manner of dress does not, by itself, constitute Consent to engage in sexual conduct and/or activity.*

~~P.~~*N.* **"Incapacitated"** refers to a state of being that prevents an individual from having the mental ability, emotional stability, or maturity to provide consent at the time the alleged behavior occurs. Incapacitation could result from the use of drugs or alcohol, a person being asleep or unconscious, or because of an intellectual or other disability or medical condition.

Alcohol and drugs can impair judgment and decision-making capacity, including the ability to rationally consider the consequences of one's actions. The effects of alcohol and drug consumption often occur along a continuum. For example, inhibition to euphoria and memory impairment, and to disorientation and incapacitation. Incapacitation due to alcohol or drug use is a state beyond "mere" intoxication or even being drunk. Indicators of incapacitation may include inability to communicate, lack of control over physical movements, and/or lack of awareness of circumstances. An incapacitated person can also experience a blackout state during which they appear to give consent but do not have conscious awareness or the capacity to consent.

~~Q.~~*O.* **"Coercion"** is the use of pressure and/or other oppressive behavior, including expressed or implied threats of physical harm, or severe and/or pervasive emotional intimidation which places an individual in fear of immediate or future harm or physical injury or causes a person to engage in unwelcome sexual activity. A person's words or conduct amounts to coercion if they wrongfully limit the other's ability to freely choose whether or not to engage in sexual activity. Coercion also includes administering a drug, intoxicant, or other substance that impairs the person's ability to give consent.

~~R.~~*P.* **"Retaliation"** is intimidation, threats, coercion, or discrimination against any individual for the purpose of interfering with any right or privilege secured by Title IX and its implementing regulations or because an individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing under this policy. Retaliation is prohibited and is considered a stand-alone policy violation without regard to any finding of responsibility for violation of this policy.

~~S.~~*Q.* **"Complainant"** means the individual(s) who is alleged to have been impacted by a violation of this Policy.[5]

~~T.~~*R.* **"Respondent"** means the individual(s) who is ~~alleged~~ to have violated this Policy.

~~U.~~*S.* **"Formal Complaint"** means a document filed by a Complainant or signed by the Title IX Coordinator alleging Sexual Harassment against a Respondent and requesting that the University investigate the allegation of Sexual Harassment in accordance with this Policy. At the time of filing a Formal Complaint, a Complainant must be participating in or attempting to participate in the University's education programs and activities. A "document filed by a Complainant" means a document or electronic submission (such as the reporting form) that contains the Complainant's physical or electronic signature or otherwise indicates that the Complainant is the person filing the Complaint.

~~V.~~*T.* **"Supportive Measures"** are non-disciplinary, non-punitive individualized services offered, as appropriate, and reasonably available, and without fee or charge, that are designed to restore or preserve equal access to the University's Education Programs and Activities without unreasonably burdening another Party, including measures designed to protect the safety of all parties implicated by a report or the University's education environment, or to deter Sexual Harassment. Supportive measures may include: counseling, extensions of academic or other deadlines, course-related adjustments, modifications to work or class schedules, campus escort services, changes in work or housing locations, leaves of absence, increased security and monitoring of certain areas of campus, and other similar measures. Supportive Measures may also include mutual restrictions on contact between the parties implicated by a report.

~~W.~~*U.* **"Education Programs and Activities"** refers to all the operations of the University, including, but not limited to, in-person and online educational instruction, employment, research activities, extracurricular activities, athletics, residence life, dining services, performances, and community engagement and outreach programs. Additionally, the term applies to all activity that occurs on campus or on other property owned or occupied by the University. It also includes off-campus locations, events, or circumstances over which the University exercises substantial control over the Respondent and the context in which the Sexual Harassment occurs, including Sexual Harassment occurring in any building owned or controlled by a student organization that is officially recognized by the University. It also includes off-campus conduct when the conduct could deny or limit a person's ability to participate in or benefit from the University's programs and activities or when the University, in its sole discretion, has an identifiable interest in the off-campus conduct.

VI. Understanding Hostile Environment Sexual Harassment

[5] A Complainant and Respondent are each individually a "Party" and collectively the "Parties" with respect to a Formal Complaint filed under this Policy.

In determining whether a Hostile Environment exists, the University will consider the totality of circumstances, including factors such as the actual impact the conduct has had on the Complainant; the nature and severity of the conduct at issue; the frequency and duration of the conduct; the relationship between the parties (including accounting for whether one individual has power or authority over the other); the respective ages of the parties; the context in which the conduct occurred; and the number of persons affected. The University will evaluate the totality of circumstances from the perspective of a reasonable person in the Complainant's position. A person's adverse subjective reaction to conduct is not sufficient, in and of itself, to establish the existence of a hostile environment.

The University encourages members of the University Community to report any and all instances of Sexual Harassment, even if they are unsure whether the conduct rises to the level of a policy violation.

Sexual Harassment also includes gender-based harassment, which may include acts of verbal, nonverbal, or physical aggression, intimidation, or hostility based on gender or gender stereotyping, *sexual orientation, and gender identity* even if those acts do not involve conduct of a sexual nature.

Some specific examples of conduct that may constitute Sexual Harassment if unwelcome include, but are not limited to:

- Unreasonable pressure for a dating, romantic, or intimate relationship or sexual contact;
- Unwelcome kissing, hugging, or massaging;
- Sexual innuendos, jokes, or humor;
- Displaying sexual graffiti, pictures, videos, or posters;
- Using sexually explicit profanity;
- Asking about, or telling about, sexual fantasies, sexual preferences, or sexual activities;
- E-mail and Internet use that violates this policy;
- Leering or staring at someone in a sexual way, such as staring at a person's breasts or groin;
- Sending sexually explicit emails, text messages, or social media posts;
- Commenting on a person's dress in a sexual manner;
- Giving unwelcome personal gifts such as lingerie that suggest the desire for a romantic relationship; or
- Insulting, demeaning, or degrading another person based on gender or gender stereotypes.

VII. Reporting Sexual Harassment

A. *Title IX Coordinator*

Any person may report Sexual Harassment to the Title IX Coordinator. Reports may be made in person, by regular mail, telephone, electronic mail, or by any other means that results in the Title IX Coordinator receiving the person's verbal or written report. In-person reports must be made during normal business hours, but reports can be made by regular mail, telephone, or electronic mail at any time, including outside normal business hours~~, to the following individuals:~~.

Reporting options and online reporting forms can be found at the following website: www.sfasu.edu/lumberjacks-care. In addition, a link to reporting information will be maintained on the university home page.

Contact information for the Title IX Coordinator and Deputy Title IX coordinators is outlined below. This information is subject to change and the most updated contact information for the Title IX coordinator and deputy coordinators can be found at www.sfasu.edu/lumberjacks-care.

Title IX Coordinator	McKibben Education Building, Suite 304 titleix@sfasu.edu | (936) 468-8292
Deputy Title IX Coordinator for Faculty, Staff, and Third Parties:~~,~~ Director of Human Resources	Austin Building, Suite 201 titleixemployees@sfasu.edu | (936) 468-2304
Deputy Title IX Coordinator for Athletics*:* Senior Woman Administrator, SFA Intercollegiate Athletics	SFA Athletic Fieldhouse titleixathletics@sfasu.edu | (936) 468-3751
Deputy Title IX Coordinator for the SFA Charter School~~,~~*:* CEO/Principal SFA Charter School	2428 Raguet Street titleixcharter@sfasu.edu | (936) 468-5899

B. *Mandatory Reporting Requirement for University Employees*

Under Texas law, all University employees, with the exception of Confidential Employees, who:

1. in the course and scope of their employment[6]

2. witnesses or receives information regarding an incident that the employee reasonably believes constitutes Sexual Harassment,[7] Sexual Assault, Dating Violence, or Stalking, which

3. is alleged to have been committed by or against a person who was a student enrolled at or an employee of the University at the time of the incident

must promptly report within 48 hours the incident to the University's Title IX Coordinator or a Deputy Title IX Coordinator.

Writing required. The University's online reporting form is the preferred method of communicating incidents promptly, so that a record is made of the time and all factual details disclosed in the initial report. A written memo is also acceptable if it can be delivered to a Coordinator promptly after the employee's duty to report arises.

[6] "Course and Scope of Employment" means an employee performing duties in the furtherance of the institution's interests.

[7] For the purposes of Texas's mandatory reporting requirement only, "Sexual Harassment" means: means unwelcome, sex-based verbal or physical conduct that (a) in the employment context, unreasonably interferes with a person's work performance or creates an intimidating, hostile, or offensive work environment; or (b) in the education context, is sufficiently severe, persistent, or pervasive that the conduct interferes with a student's ability to participate in or benefit from the University's educational programs or activities.

Report Contents. The employee's report must include all information concerning the incident known to the employee which is relevant to an investigation under this Policy, including whether the subject of the report has expressed a desire for an institutional response to the incident or made a request for confidentiality in reporting the incident.

***Privacy vs.* Confidentiality.** ~~Unless~~
References made to confidentiality refer to the ability of identified confidential resources to not report full details of crimes and violations, in accordance with mandatory reporting laws, to law enforcement or university officials without permission, unless waived in writing by the affected individual, ~~the identity of an alleged victim of an incident reported pursuant to this mandatory reporting requirement may be disclosed only to (~~*or for extreme circumstances, such as* a~~)~~ *health and/or safety emergency or child abuse. References made to privacy mean University officials and* employees ~~of~~*who cannot guarantee confidentiality but will maintain privacy to* the ~~University who are~~*greatest extent possible, and information disclosed will be relayed only as* necessary to ~~conduct an investigation of~~*investigate and/or seek a resolution and to notify* the ~~report or any related hearings and (b) a law enforcement officer~~*Title IX Coordinator or designee. The University will limit the disclosure as much as practicable even if the Title IX Coordinator or designee determines that the request for confidentiality cannot be honored.*

Exceptions. The mandatory reporting requirement does not apply to:

1. Individuals who are themselves the victims of the Sexual Harassment, Sexual Assault, Dating Violence, or Stalking incident that is being reported;

2. Instances when an employee receives information about Sexual Harassment, Sexual Assault, Dating Violence, or Stalking at a public awareness event sponsored by the University; or

3. Employees designated as Confidential Employees.

4. A campus peace officer employed by the university who receives information regarding an incident involving sexual assault, domestic violence, dating violence, or stalking from an alleged victim who chooses to complete a pseudonym form described in Texas Code of Criminal Procedure. University Police Officers must report limited information to the Title IX Coordinator, including the type of incident, general location and date of alleged incident. The report may not include the victim 's name, phone number, address, or other information that may directly or indirectly reveal the victim 's identity.

Consequences of Non-Compliance. An employee who fails to make a required report will be terminated following an investigation and any required process under the applicable personnel policy.[8]

Immunity. An employee who, in good faith reports or assists in the investigation of a report under this Policy, or who testifies or otherwise participates in a disciplinary process or judicial proceeding

[8] Employees who fail to make a mandatory report under this provision may also be subject to criminal prosecution pursuant to Texas Education Code section 51.255(a).

arising from a report of such an incident, will not be subject to disciplinary action for violations of the administrative policies of Stephen F. Austin State University that are reasonably related to the incident. This immunity does not apply to a person who perpetrates or assists in the perpetration of the incident reported under this policy or who commits a criminal offense pursuant to Texas Education Code § 51.255(a).

C. *Confidential Employees*

The University believes it is critical to provide community members who may be experiencing Sexual Harassment information about available institutional resources to empower those individuals to make informed decisions about their rights and options. Members of the University community may speak to officially designated Confidential Employees[9] about Sexual Harassment, Sexual Assault, Dating Violence, or Stalking without the conversation triggering a mandatory report of incident details.

The University has designated the following Confidential Resources:

SFA Counseling Services
(936) 468-2401 | counseling@sfasu.edu

SFA Human Services Counseling Clinic
(936) 468-1041 | SFACounselingClinic@sfasu.edu

SFA Student Health Clinic
(936) 468-4008 | healthservices@sfasu.edu

Family Crisis Center of East Texas
(936) 468-7233 Campus Office
(800) 828-7233 (24-hour crisis line)

~~SFA University Police~~
~~(936) 468-2608 | updemail@sfasu.edu~~

A Confidential Employee is not required to report any information that would violate an individual's expectation of privacy, such as the name or other identifying information of an individual who has experienced or allegedly engaged in Sexual Harassment.

This provision does not affect any employee's duty to report incidents of sexual misconduct as required by other law.

D. *Reports to Law Enforcement*

[9] Under Texas law, a "Confidential Employee" is an employee (1) designated by the University as a person with whom students may speak confidentially concerning Sexual Harassment, Sexual Assault, Dating Violence, or Stalking or (2) receives information regarding such an incident under circumstances that render the employee's communications confidential or privileged under other law.

Victims of a crime have the right to choose whether to report the crime to law enforcement, to be assisted by the University in reporting the crime to law enforcement, or to decline to report the crime to law enforcement. The University encourages anyone who believes they experienced or witnessed a crime to make a report to the Stephen F. Austin State University Police Department ("UPD"), if the assault occurred on campus, or to local law enforcement, for crimes occurring off campus.

Reports of criminal offenses occurring on campus, including but not limited to sexual assault, dating violence, domestic violence, and stalking may also be made to UPD at 936-468-2608 (non-emergency) or 911 (emergency) or to the City of Nacogdoches Police Department 936-559-2607 (non-emergency) or 911 (emergency) or to other local law enforcement authorities. Regardless of where the incident occurred, UPD can assist in making a report to the appropriate law enforcement agency. Individuals are not required to report all criminal violations to law enforcement, but the University strongly encourages reporting criminal violations to the police. The Title IX Coordinator and deputy Title IX coordinators can assist individuals in contacting these law enforcement agencies as well as the confidential resources outlined in Section 6.1 C of this policy. Employees and students with protective or restraining orders relevant to a report are encouraged to provide a copy to the University Police Department.

If a report of a policy violation is made to UPD, officers will advise the complainant or reporting party of their right to file a report under this policy. To the extent allowed by law and university policy, UPD shall also notify the Title IX Coordinator of the report, and provide the Title IX Coordinator, or the individual investigating the reported policy violation, access to any related university law enforcement records, so long as doing so does not compromise any criminal investigation.

E. *Medical Treatment and Preservation of Evidence*

In cases of sexual assault, and for one's safety and well-being, immediate medical attention is encouraged to evaluate for physical injury, sexually transmitted diseases, and pregnancy. Being examined as soon as possible, ideally within 120 hours, is important for evidence collection, which may be used to support prosecution should the Complainant decide to pursue criminal charges.

F. *Anonymous Reports*

Anyone, not designated as a ~~responsible employee~~*Mandatory Reporter*, can make an anonymous report by submitting information through the Online Reporting Form found at http://www.sfasu.edu/lumberjacks-care.

VIII. Preliminary Assessment

Upon receipt of a report, the Title IX Coordinator will conduct a preliminary assessment to determine whether the conduct, as reported, constitutes or could constitute Sexual Harassment.

If the Title IX Coordinator determines that the conduct reported could not fall within the scope of this Policy, and/or could not constitute Sexual Harassment, even if investigated, the Title IX Coordinator will close the matter and may notify the reporting party if doing so is consistent with the

Family Educational Rights and Privacy Act ("FERPA"). The Title IX Coordinator may refer the report to other University offices, as appropriate.

If the Title IX Coordinator determines that the conduct reported could fall within the scope of this Policy, and/or could constitute Sexual Harassment, if investigated, the Title IX Coordinator will proceed to contact the Complainant.

As part of the preliminary assessment, the Title IX Coordinator may take investigative steps to determine the identity of the Complainant, if such identity is not apparent from the report.

IX. Contacting the Complainant

If a report is not closed as a result of the preliminary assessment and the Complainant's identity is known, the Title IX Coordinator or their designee will promptly contact the Complainant to discuss the following:

- the availability of Supportive Measures with or without filing a Formal Complaint;
- the Complainant's wishes with respect to such Supportive Measures;
- the process for filing and pursuing a Formal Complaint;
- the importance of going to a hospital for treatment and preservation of evidence as soon as practicable after the incident, if applicable;
- the right to report the incident to the institution and to receive a prompt and equitable resolution of the report;
- the right of a victim of a crime to choose whether to report the crime to law enforcement, to be assisted by the institution in reporting the crime to law enforcement, or to decline to report the crime to law enforcement; and
- information about resources that are available on campus and in the community.

X. Supportive Measures

Generally. Any individual affected by or accused of Sexual Harassment will have equal access to support and counseling services offered through the University. The University encourages any individual who has questions or concerns to seek support of University-identified resources. The Title IX Coordinator or their designee is available to provide information about the University's policy and procedure and to provide assistance. A list of University identified resources is located at the following link: http://www.sfasu.edu/lumberjacks-care

Complainant. The Title IX Coordinator or their designee will offer and make available Supportive Measures to the Complainant upon receipt of a report of Sexual Harassment regardless of whether the Complainant elects to file a Formal Complaint.

Respondent. The Title IX Coordinator or their designee will notify the Respondent of the availability of Supportive Measures contemporaneously with the Respondent being notified of a Formal Complaint. Once a Formal Complaint has been initiated, the University will offer and make available Supportive Measures to the Respondent in the same manner in which it offers and makes them available to the Complainant. The University will also offer and make available Supportive Measures

to the Respondent prior to the Respondent being notified of a Formal Complaint, if the Respondent requests such measures.

All Parties. The University will, to the greatest extent practicable, ensure that each Party or other person who reports an incident of Sexual Harassment is offered counseling provided by a counselor who does not provide counseling to any other person involved in the incident. In addition, all Parties are allowed to drop a course in which both Parties are enrolled without any academic penalty.

Confidentiality. The University will maintain the confidentiality of Supportive Measures provided to either a Complainant or Respondent, to the extent that maintaining such confidentiality does not impair the University's ability to provide the Supportive Measures in question.

XI. ~~Interim~~*Emergency* Removal

At any time after receiving a report of Sexual Harassment, the Title IX Coordinator may remove a student Respondent from the University's education programs and activities on ~~an~~*a* temporary basis if an individualized safety and risk analysis determines that an immediate threat to the physical health or safety of any student or other individual arising from the allegations of Sexual Harassment justifies removal. In the event the Title IX Coordinator imposes an ~~interim~~*emergency* removal, the Title IX Coordinator must offer to meet with the Respondent within ~~twenty-four~~*24* hours and provide the Respondent an opportunity to challenge the interim removal.

In the case of a Respondent who is a non-student employee (administrator, faculty, or staff), and in its discretion, the University may place the Respondent on administrative leave at any time after receiving a report of Sexual Harassment, including during the pendency of the investigation and adjudication process.

For all other Respondents, including independent contractors and guests, the University retains broad discretion to prohibit such persons from entering onto its campus and other properties at any time, and for any reason, whether after receiving a report of Sexual Harassment or otherwise.

XII. Formal Complaint

A. *Filing a Formal Complaint*

A Complainant may file a Formal Complaint with the Title IX Coordinator requesting that the University investigate and adjudicate a report of Sexual Harassment in accordance with this Policy. Provided, however, that at the time the Complainant submits a Formal Complaint, the Complainant must be participating in, or attempting to participate in, one or more of the University's Education Programs or Activities.

A Complainant may file a Formal Complaint with the Title IX Coordinator in person, by regular mail, or by email using the contact information specified above. No person may submit a Formal Complaint on the Complainant's behalf.

In any case, including a case where a Complainant elects not to file a Formal Complaint, the Title IX Coordinator may file a Formal Complaint on behalf of the University if doing so is not clearly unreasonable. Such action will normally be taken in limited circumstances involving serious or

repeated conduct or where the alleged perpetrator may pose a continuing threat to the University Community. Factors the Title IX Coordinator may consider include (but are not limited to):

1. the seriousness of the alleged incident, including (a) whether a weapon was involved in the incident, (b) whether multiple assailants were involved in the incident, and (c) whether the incident is poses a risk of recurrence;

2. whether the institution has received other reports of Sexual Harassment committed by the Respondent;

3. whether the alleged incident poses a risk of harm to others; and

4. any other factors the University determines relevant.

If the Complainant or the Title IX Coordinator files a Formal Complaint, then the University will commence an investigation and proceed to adjudicate the matter. If the University elects to proceed as a Complainant, the University will inform the alleged victim of the incident of that decision. In all cases where a Formal Complaint is filed, the Complainant will be treated as a Party, irrespective of the Party's level of participation.

B. *Consolidation of Formal Complaints*

The University may consolidate Formal Complaints as to allegations of Sexual Harassment against more than one Respondent, or by more than one Complainant against one or more Respondents, or by one Party against the other Party, where the allegations of Sexual Harassment arise out of the same facts or circumstances. Where the investigation and adjudication process involve more than one Complainant or more than one Respondent, references in this policy to the singular "Party," "Complainant," or "Respondent" include the plural, as applicable.

C. *Dismissal Prior to Commencement of Investigation*

In a case where the Complainant files a Formal Complaint, the Title IX Coordinator will evaluate the Formal Complaint and must dismiss it if the Title IX Coordinator determines:

- The conduct alleged in the Formal Complaint would not constitute Sexual Harassment, even if proved; or
- The conduct alleged in the Formal Complaint falls outside the scope of this Policy (*i.e.*, because the alleged conduct did not occur in the University's Education Programs and Activities).

- *The conduct alleged in the Formal Complaint took place outside the United States.*

In the event the Title IX Coordinator determines the Formal Complaint should be dismissed pursuant to this Section, the Title IX Coordinator will provide written notice of dismissal to the parties and advise them of their right to appeal. The Title IX Coordinator may refer the subject matter of the Formal Complaint to other University offices, as appropriate. A dismissal pursuant to this Section is

presumptively a final determination for purposes of this policy, unless otherwise specified in writing by the Title IX Coordinator in the written notice of dismissal.

D. *Notice of Formal Complaint*

~~Within five days of the Title IX Coordinator~~*Upon* receiving a Formal Complaint, the Title IX Coordinator *or designee* will *promptly* transmit a written notice to the Complainant and Respondent that includes:

- A physical copy of or hyperlink to this Policy;
- Sufficient details known at the time so that the Parties may prepare for an initial interview with the investigator, to include the identities of the parties involved in the incident (if known), the conduct allegedly constituting Sexual Harassment, and the date and location of the alleged incident (if known);
- A statement that the Respondent is presumed not responsible for the alleged Sexual Harassment and that a determination of responsibility will not be made until the conclusion of the adjudication and any appeal;
- Notifying the Complainant and Respondent of their right to be accompanied by an advisor of their choice;
- Notifying the Complainant and Respondent of their right to inspect and review evidence;
- Notifying the Complainant and Respondent of the University's prohibitions on retaliation and false statements; and
- Information about resources that are available on campus and in the community.

Should the University elect, at any point, to investigate allegations that are materially beyond the scope of the initial written notice, the University will provide a supplemental written notice describing the additional allegations to be investigated.

E. *Presumption of Non-Responsibility*

From the time a report or Formal Complaint is made, a Respondent is presumed not responsible for the alleged misconduct until a determination regarding responsibility is made final.

XIII. Investigation

I. *Commencement and Timing*

After the written notice of Formal Complaint is transmitted to the Parties, an investigator selected by the Title IX Coordinator will undertake an investigation to gather evidence relevant to the alleged misconduct, including inculpatory and exculpatory evidence. The burden of gathering evidence sufficient to reach a determination in the adjudication lies with the University and not with the Parties. The investigation will culminate in a written investigation report that will be submitted to the adjudicator during the selected adjudication process. Although the length of each investigation may vary depending on the totality of the circumstances, the University strives to complete each investigation within ~~60 calendar~~*100 university business* days of the transmittal of the written notice of Formal Complaint.

J. *Equal Opportunity*

During the investigation, the investigator will provide an equal opportunity for the Parties to be interviewed, to present witnesses (including fact and expert witnesses), and to present other inculpatory and exculpatory evidence. Notwithstanding the foregoing, the investigator retains discretion to limit the number of witness interviews the investigator conducts if the investigator finds that testimony would be unreasonably cumulative, if the witnesses are offered solely as character references and do not have information relevant to the allegations at issue, or if the witnesses are offered to render testimony that is ~~categorically inadmissible, such as testimony concerning sexual history of the Complainant.~~*not Relevant.* The investigator will not restrict the ability of the parties to gather and present relevant evidence on their own.

The investigation is a Party's opportunity to present testimonial and other evidence that the Party believes is relevant to resolution of the allegations in the Formal Complaint. A Party that is aware of and has a reasonable opportunity to present particular evidence and/or identify particular witnesses during the investigation, and elects not to, will be prohibited from introducing any such evidence during the adjudication absent a showing of mistake, inadvertence, surprise, or excusable neglect.

K. *Documentation of Investigation*

The investigator will take reasonable steps to ensure the investigation is documented. Interviews of the parties and witnesses may be documented by the investigator's notes, audio recorded, video recorded, or transcribed. The particular method utilized to record the interviews of parties and witnesses will determined by the investigator in the investigator's sole discretion, although whatever method is chosen shall be used consistently throughout a particular investigation.

L. *Access to the Evidence*

At the conclusion of the evidence-gathering phase of the investigation, but prior to the completion of the investigation report, the investigator will transmit to each Party and their advisor, in either electronic or hard copy form, all evidence obtained as part of the investigation that is directly related to the allegations raised in the Formal Complaint, including evidence the University may choose not to rely on at any hearing and inculpatory or exculpatory evidence whether obtained from a Party or some other source. The parties will have ten calendar days in which to submit to the investigator a written response, which the investigator will consider prior to completing the investigation report.

The parties and their advisors are permitted to review the evidence solely for the purposes of this grievance process and may not duplicate or disseminate the evidence to the public.

M. *Investigation Report*

After the period for the parties to provide any written response has expired, the investigator will complete a written investigation report that fairly summarizes the various steps taken during the investigation, summarizes the relevant evidence collected, lists material facts on which the parties agree, and lists material facts on which the parties do not agree. When the investigation report is complete, the investigator will transmit a copy to the Title IX Coordinator. The investigator will also transmit the investigation report to each Party and their advisor, in either electronic or hard copy form.

XIV. Adjudication Process Selection

After the investigator has sent the investigation report to the parties, the Title IX Coordinator will transmit to each Party a notice advising the Party of the two different adjudication processes specified below. The notice will explain that the hearing process is the default process for adjudicating all Formal Complaints and will be utilized unless both parties voluntarily consent to administrative adjudication as a form of informal resolution. The notice will be accompanied by a written consent to administrative adjudication and will advise each Party that, if both parties execute the written consent to administrative adjudication, then the administrative adjudication process will be used in in lieu of the hearing process. Parties are urged to carefully review this Policy, consult with their advisor, and consult with other persons as they deem appropriate (including an attorney) prior to consenting to administrative adjudication.

Each Party will have three calendar days from transmittal of the notice specified below to return the signed written consent form to the Title IX Coordinator. If either Party does not timely return the signed written consent, that Party will be deemed not to have consented to administrative adjudication and the Formal Complaint will be adjudicated pursuant to the hearing process.

XV. Adjudication

I. *Hearing Process*

The process for adjudicating Formal Complaints is the hearing process specified in this Section. The hearing process will be used to adjudicate all Formal Complaints unless both ~~parties~~*parties'* timely consent to Informal Resolution.

Non-participation by any party or their advisor at any point in the hearing process shall not delay the adjudication.

1. Hearing Panel

After selection of the hearing process as the form of ~~administrative~~ adjudication, the Title IX Coordinator will promptly appoint a hearing panel which will oversee the hearing process and render a determination of responsibility for the allegations in the Formal Complaint, at the conclusion of the hearing process. The Title IX Coordinator will see that the hearing panel is provided a copy of the investigation report and a copy of all evidence transmitted to the parties by the investigator. The hearing panel is composed of three people selected from a pool of trained panelists, one of whom will serve as the hearing panel chair. Neither the investigator nor the Title IX Coordinator may serve on the hearing panel. Panelists whose relationship with a party in an investigation causes a conflict of interest shall be excluded from the panel. The hearing panel is responsible for conducting a live hearing for alleged violations of this policy and for making a determination of responsibility and, when appropriate, apply sanctions. Hearing panelists shall complete ongoing training regarding the issues contained in this policy.

2. Hearing Notice and Response to the Investigation Report

After the hearing panel is appointed by the Title IX Coordinator, the hearing panel chair will promptly transmit written notice to the parties notifying the parties of the hearing panel's

appointment; setting a deadline for the parties to submit any written response to the investigation report; setting a date for the pre-hearing conference; and setting a date and time for the hearing. Neither the pre-hearing conference, nor the hearing itself, may be held any earlier than ten calendar days from the date of transmittal of the written notice.

A Party's written response to the investigation report must include:

- To the extent the Party disagrees with the investigation report, any argument or commentary regarding such disagreement;
- Any argument that evidence should be ~~categorically~~ excluded from consideration at the hearing based on ~~privilege,~~ relevancy~~, the prohibition on the use of sexual history, or for any other reason;~~.
- A list of any witnesses that the Party contends should be requested to attend the hearing pursuant to an attendance notice issued by the hearing panel chair;
- A list of any witnesses that the Party intends to bring to the hearing without an attendance notice issued by the hearing officer;
- Any request that the parties be separated physically during the pre-hearing conference and/or hearing;
- Any other accommodations that the Party seeks with respect to the pre-hearing conference and/or hearing;
- The name and contact information of the advisor who will accompany the Party at the pre-hearing conference and hearing;
- If the Party does not have an advisor who will accompany the Party at the hearing, a request that the University provide an advisor for purposes of conducting questioning.

A Party's written response to the investigation report may also include:

- Argument regarding whether any of the allegations in the Formal Complaint are supported by a preponderance of the evidence; ~~and~~
- Argument regarding whether any of the allegations in the Formal Complaint constitute Sexual Harassment~~.~~*;*
- *Relevant evidence which was not included in the investigation report due to mistake, inadvertence, surprise or excusable neglect;*
- *Questions which the parties' advisors intend to ask during cross-examination at the hearing to be ruled on for relevancy by the hearing chair prior to the hearing; and*
- *Concerns of bias or conflict of interest which may exist between a party and a member or members of the hearing panel*.

3. Pre-Hearing Conference

Prior to the hearing, the hearing chair will conduct a pre-hearing conference with the parties and their advisors. The pre-hearing conference will be conducted live, with ~~simultaneous and contemporaneous~~ participation by the parties and their advisors. By default, the pre-hearing conference will be conducted with the hearing officer, the parties, the advisors, and other necessary University personnel, if any, together in the same physical location. However, upon request of either

Party, the parties will be separated into different rooms with technology enabling the parties to participate ~~simultaneously and contemporaneously~~ by video and audio.

In the hearing chair's discretion, the pre-hearing conference may be conducted virtually, by use of video and audio technology, where all participants participate ~~simultaneously and contemporaneously~~ by use of such technology.

During the pre-hearing conference, the hearing chair will discuss the hearing procedures with the parties; address matters raised in the parties' written responses to the investigation report, as the hearing officer deems appropriate; discuss whether any stipulations may be made to expedite the hearing; discuss the witnesses the parties have requested be served with notices of attendance and/or witnesses the parties plan to bring to the hearing without a notice of attendance; and resolve any other matters that the hearing officer determines, in the hearing chair's discretion, should be resolved before the hearing. *Effort shall be made by the hearing chair to conduct pre-hearing conferences that are equitable and present information that is materially the same to all parties and advisors.*

4. Issuance of Notices of Attendance

After the pre-hearing conference, the hearing chair will transmit notices of attendance to any University employee (including administrator, faculty, or staff) or student whose attendance is requested at the hearing as a witness~~.~~*, including those requested by the hearing panel.* The notice will advise the subject of the specified date and time of the hearing and advise the subject to contact the hearing chair immediately if there is a material and unavoidable conflict.

The subject of an attendance notice should notify any manager, faculty member, coach, or other supervisor, as necessary, if attendance at the hearing will conflict with job duties, classes, or other obligations. All such managers, faculty members, coaches, and other supervisors are required to excuse the subject of the obligation, or provide some other accommodation, so that the subject may attend the hearing as specified in the notice.

The University ~~will~~*is* not *obligated to* issue a notice of attendance to any witness who is not an employee or a student.

5. Hearing

After the pre-hearing conference, the hearing panel will convene and conduct a hearing. The hearing will be audio recorded. The audio recording will be made available to the parties for inspection and review on reasonable notice, including for use in preparing any subsequent appeal.

The hearing will be conducted live, with simultaneous and contemporaneous participation by the parties and their advisors. By default, the hearing will be conducted with the hearing panel, the parties, the advisors, witnesses, and other necessary University personnel together in the same physical location. However, upon request of either Party, the parties will be separated into different rooms with technology enabling the parties to participate simultaneously and contemporaneously by video and audio. The hearing may, in the hearing chair's discretion, be conducted virtually, by use

of video and audio technology, where all participants participate simultaneously and contemporaneously by use of such technology.

While the rulings from the hearing chair will govern the particulars of the hearing, each hearing will include, at a minimum:

- Opportunity for each Party to address the hearing panel directly and to respond to questions posed by the hearing chair;
- Opportunity for each Party's advisor to ask directly, orally, and in real time, relevant questions, and follow up questions, of the other Party and any witnesses, including questions that support or challenge credibility;
- Opportunity for each Party to raise contemporaneous objections to testimonial or non-testimonial evidence and to have such objections ruled on by the hearing chair and a reason for the ruling provided;
- Opportunity for each Party to submit evidence that the Party did not present during the investigation *or pre-hearing conference* due to mistake, inadvertence, surprise, or excusable neglect;
- Opportunity for each Party to make a brief closing argument.

Except as otherwise permitted by the hearing chair, the hearing will be closed to all persons except the parties, their advisors, the investigator, the hearing panel, the Title IX Coordinator, and other necessary University personnel. With the exception of the investigator and the parties, witnesses will be sequestered until such time as their testimony is complete.

During the hearing, the parties and their advisors will have access to the investigation report and evidence that was transmitted to them.

While a Party has the right to attend and participate in the hearing with an advisor, a Party and/or advisor who materially and repeatedly violates the rules of the hearing in such a way as to be materially disruptive, may be barred from further participation and/or have their participation limited~~, as the case may be, in~~ *at* the discretion of the hearing officer.

Subject to the minimum requirements specified in this Section, the hearing chair will have sole discretion to determine the manner and particulars of any given hearing, including with respect to the length of the hearing, the order of the hearing, and questions of admissibility. The hearing chair will independently and contemporaneously screen questions for relevance in addition to resolving any contemporaneous objections raised by the parties and will explain the rational for any evidentiary rulings.

The hearing is not a formal judicial proceeding and strict rules of evidence do not apply.

All participants shall be subject to the university's rules of decorum during hearing processes.

6. Subjection to Questioning

In the event that any Party or witness refuses to attend the hearing, or attends but refuses to submit to questioning by the Parties' advisors, the statements of that Party or witness~~, as the case may be,~~

whether given during the investigation or during the hearing, ~~will not~~*may* be considered by the hearing panel in reaching a determination of responsibility. *The hearing panel will rely on appropriate training to judge the credibility and weight given to any statement or evidence presented in the hearing or the investigative report in making a determination of responsibility.*

~~Notwithstanding the foregoing, the hearing panel may consider the testimony of any Party or witness, whether given during the investigation or during the hearing, if the parties jointly stipulate that the testimony may be considered or in the case where neither Party requested attendance of the witness at the hearing.~~

In applying this Section, the hearing panel will not draw an inference about the determination ~~regarding~~*of* responsibility based solely on a Party or a witness's absence from the live hearing and/or refusal to submit to questioning by the parties' advisors.

7. Deliberation and Determination

After the hearing is complete, the hearing panel will objectively evaluate all relevant evidence collected during the investigation, including both inculpatory and exculpatory evidence, together with testimony and non-testimony evidence received at the hearing, and ensure that any credibility determinations made are not based on a person's status as a Complainant, Respondent, or witness. The hearing panel will take care to exclude from consideration any evidence that was ruled ~~inadmissible~~*not Relevant* at the pre-hearing conference, during the hearing, or otherwise. The hearing panel will resolve disputed facts using a preponderance of the evidence (i.e., "more likely than not") standard and reach a determination regarding whether the facts that are supported by a preponderance of the evidence constitute one or more violations of the policy as alleged in the Formal Complaint.

8. Discipline and Remedies

In the event the hearing panel determines that the Respondent is responsible for violating this policy, the hearing chair will, prior to issuing a written decision, consult with an appropriate University official with disciplinary authority over the Respondent and such official will determine any discipline to be imposed~~.~~ *and the process to follow through with such discipline in coordination with other University departments as necessary.* The hearing chair will also, prior to issuing a written decision, consult with the Title IX Coordinator who will determine whether and to what extent ongoing support measures or other remedies will be provided to the Complainant.

If a student is found responsible for Sexual Harassment and the sanction imposed makes the student ineligible to reenroll in the University (i.e., suspension or expulsion), the University will include a notation on the student's transcript. The student may request the removal of a transcript notation imposed under this Policy if:

- the student becomes eligible to reenroll at the University; or
- the University determines that good cause exists to remove the notation.

If the University receives an appropriate request by another postsecondary educational institution, the University will provide to the requesting institution information relating to the University's determination that the student violated this Policy.

9. Written Decision

After reaching a determination and consulting with the appropriate University official and Title IX Coordinator as required above, the hearing chair will prepare a written decision that will include:

- Identification of the allegations potentially constituting *covered* Sexual Harassment made in the Formal Complaint;
- A description of the procedural steps taken by the University upon receipt of the Formal Complaint, through issuance of the written ~~decision~~*determination*, including notification to the parties, interviews with the parties and witnesses, site visits, methods used to gather non-testimonial evidence, and the date, location, and people who were present at or presented testimony at the hearing.
- ~~Articulate findings~~*Findings* of fact, made under a preponderance of the evidence standard, that support the determination;
- A statement of, and rationale for, each allegation that constitutes a separate potential incident of Sexual Harassment, including a determination regarding responsibility for each separate potential incident;
- The discipline determined by the appropriate University official;
- Whether the Complainant will receive any ongoing support measures or other remedies as determined by the Title IX Coordinator; and
- A description of the University's process and grounds for appeal.

The hearing chair's written determination will be transmitted to the parties. Transmittal of the written determination to the parties concludes the hearing process, subject to any right of appeal.

Although the length of each adjudication by hearing will vary depending on the totality of the circumstances, the University strives to issue the hearing chair's written determination within 15 business days of the conclusion of the hearing.

J. *Administrative Adjudication*

In lieu of the hearing process *and to the extent not prohibited by federal law*, the Parties may consent to have a Formal Complaint resolved by administrative adjudication as a form of informal resolution. Administrative adjudication is voluntary and must be consented to in writing by both parties and approved by the Title IX Coordinator. At any time prior to the issuance of the administrative officer's determination, a Party has the right to withdraw from administrative adjudication and request a live hearing.

If administrative adjudication is selected, the Title IX Coordinator will appoint an administrative officer who does not need to be an employee of the University. The Title IX Coordinator will see that the administrative adjudicator is provided a copy of the investigation report and a copy of all the evidence transmitted to the parties by the investigator.

The administrative officer will promptly send written notice to the Parties notifying the parties of the administrative officer's appointment; setting a deadline for the parties to submit any written response to the investigation report; and setting a date and time for each party to meet with the administrative officer separately. The administrative officer's meetings with the parties will not be held any earlier than ten calendar days from the date of transmittal of the written notice specified in this paragraph.

A Party's written response to the investigation report must include:

- To the extent the party disagrees with the investigation report, any argument or commentary regarding such disagreement;
- Any argument that a particular piece or class of evidence should be categorically excluded from consideration at the hearing based on privilege, relevancy, the prohibition on the use of sexual history, or for any other reason;
- Argument regarding whether any of the allegations in the Formal Complaint are supported by a preponderance of the evidence;
- Argument regarding whether any of the allegations in the Formal Complaint constitute Sexual Harassment.

After reviewing the Parties' written responses, the administrative officer will meet separately with each party to provide the Party with an opportunity make any oral argument or commentary the Party wishes to make and for the administrative officer to ask questions concerning the Party's written response, the investigative report, and/or the evidence collected during the investigation.

After meeting with each Party, the administrative officer will objectively ~~revaluate~~*re-evaluate* all relevant evidence, including both inculpatory and exculpatory evidence and ensure that any credibility determinations made are not based on a person's status as a Complainant, Respondent, or witness. The administrative officer will take care to exclude from consideration any evidence that the administrative officer determines should be ruled inadmissible based on the objections and arguments raised by the Parties in their respective written responses to the investigation report. The administrative officer will resolve disputed facts using a preponderance of the evidence (*i.e.*, "more likely than not") standard and reach a determination regarding whether the facts that are supported by a preponderance of the evidence constitute one or more violations of the policy as alleged in the Formal Complaint.

Thereafter, the administrative officer will consult with any University official and the Title IX Coordinator and will prepare and transmit a written decision which shall serve as a resolution for purposes of informal resolution.

Transmittal of the administrative officer's written determination concludes the administrative adjudication, subject to any right of appeal.

Although the length of each administrative adjudication will vary depending on the totality of the circumstances, the University strives to issue the administrative officer's written determination within twenty-one calendar days of the transmittal of the initiating written notice.

XVI. Dismissal During Investigation or Adjudication

The University may dismiss a Formal Complaint at any point during the investigation or adjudication process if the Title IX Coordinator determines that any one or more of the following is true:

- The Complainant provides the Title IX Coordinator written notice that the Complainant wishes to withdraw the Formal Complaint or any discrete allegations therein (in which case those discrete allegations may be dismissed);
- The Respondent is no longer enrolled or employed by the University; or
- Specific circumstances prevent the University from gathering evidence sufficient to reach a determination as to the Formal Complaint, or any discrete allegations therein (in which case those discrete allegations may be dismissed).

In the event the Title IX Coordinator determines that a Formal Complaint should be dismissed pursuant to this Section, the Title IX Coordinator will provide written notice of dismissal to the parties and advise them of their right to appeal. The Title IX Coordinator may refer the subject matter of the Formal Complaint to other University offices, as appropriate. A dismissal pursuant to this Section is presumptively a final determination as it pertains to this policy, unless otherwise specified in writing by the Title IX Coordinator in the written notice of dismissal.

XVII. Appeal

A. *Grounds for Appeal*

Either Party may appeal the determination of an adjudication, or a dismissal of a Formal Complaint, on one or more of the following grounds:

1. A procedural irregularity affected the outcome;

2. There is new evidence that was not reasonably available at the time the determination or dismissal was made, that could have affected the outcome;

3. The Title IX Coordinator, investigator, hearing panel, or administrative officer had a conflict of interest or bias for or against complainants or respondents generally, or against the individual Complainant or Respondent, that affected the outcome.

No other grounds for appeal are permitted.

B. *Deadline to File Appeal*

A Party must file an appeal within seven calendar days of the date they receive notice of dismissal or determination appealed from or, if the other Party appeals, within three calendar days of the other Party appealing, whichever is later. All parties will be provided a link to the appeal form upon notification of the findings in their case. The appeal must be submitted in writing and- must specifically identify the determination and/or dismissal appealed from, articulate which one or more of the three grounds for appeal are being asserted, explain in detail why the appealing Party believes the appeal should be granted, and articulate what specific relief the appealing Party seeks.

Appeals should be submitted using the online appeal form which can be found on the Lumberjacks Care webpage at http://www.sfasu.edu/lumberjacks-care.

C. *Resolution of Appeal*

Promptly upon receipt of an appeal, the *Title IX Coordinator or designee will appoint an* appeal officer *who* will conduct an initial evaluation to confirm that the appeal is timely filed and that it invokes at least one of the permitted grounds for appeal. If the appeal officer determines that the appeal is not timely, or that it fails to invoke a permitted ground for appeal, the appeal officer will dismiss the appeal and provide written notice of the same to the parties.

If the appeal officer confirms that the appeal is timely and invokes at least one permitted ground for appeal, the appeal officer will provide written notice to the other Party that an appeal has been filed and that the other Party may submit a written opposition to the appeal within seven calendar days. The appeal officer shall also promptly obtain from the Title IX Coordinator *or designee* any records from the investigation and adjudication necessary to resolve the grounds raised in the appeal.

Upon receipt of any opposition, or after the time period for submission of an opposition has passed without one being filed, the appeal officer will promptly decide the appeal and transmit a written decision to the parties that explains the outcome of the appeal and the rationale. The determination of a Formal Complaint, including any discipline, becomes final when the time for appeal has passed with no Party filing an appeal or, if any appeal is filed, at the point when the appeal officer has resolved all appeals, either by dismissal or by transmittal of a written decision. No further review beyond the appeal is permitted.

Although the length of each appeal will vary depending on the totality of the circumstances, the University strives to issue the appeal officer's written decision within 21 calendar days of an appeal being filed.

XVIII. Informal Resolution

The University may, in the Title IX Coordinator's discretion, facilitate an Informal Resolution in accordance with the protocol outlined below.

A. *Guiding Principles*

Generally, informal resolution involves a structured, supervised interaction between the Parties and/or other affected community members that seeks to identify and meet the needs of the Complainant while providing an opportunity for the Respondent and/or other affected community members to ~~accept responsibility and~~ repair harm (to the extent possible). Informal resolution may not include an investigation, hearing, or disciplinary action against a Respondent (including transcript notations), but may include imposing appropriate and reasonable remedies as agreed to by the Parties. All informal resolutions are facilitated by a trained administrator or outside expert.

B. *Availability of Informal Resolution*

Informal resolution is available in matters in which the Title IX Coordinator, in the Title IX Coordinator's discretion, determines it is appropriate. Factors the University will consider when

determining whether a report of Prohibited Conduct is suitable for ~~Alternative~~*Informal* Resolution include, but are not limited to:

- the nature and severity of the conduct, including whether the use of force or a weapon was involved;
- the Respondent's prior known disciplinary or criminal conduct, including whether the University has received other reports of Prohibited Conduct committed by the Respondent;
- whether the alleged incident poses a risk of harm to other individuals or the community;
- the dynamics of power or control commonly associated with the alleged conduct or the nature of the parties' relationship;
- whether multiple parties are affected or involved;
- any admissions of responsibility by the Respondent; and
- any other factor deemed relevant by the Title IX Coordinator or their designee in the interest of overall campus safety or safety of the parties involved.

Informal resolution will not be permitted if ~~the~~*:*

- *The* Respondent is a non-student employee accused of committing Sexual Harassment against a student,
- *The allegations include Sexual Assault,*
- *The allegations include ongoing Dating and/or Domestic Violence, or*
- *An imminent threat of harm exists.*

The Title IX Coordinator's determination on whether the allegations may be resolved with an Informal Resolution is not subject to appeal.

C. *Informal Resolution Process*

At any time after the parties are provided written notice of the Formal Complaint, and before the completion of any appeal, the parties may voluntarily consent, with the Title IX Coordinator's approval, to engage in mediation, facilitated resolution, or other form of dispute resolution the goal of which is to enter into a final resolution resolving the allegations raised in the Formal Complaint by agreement of the parties. Administrative Adjudication is a form of informal resolution.

The specific manner of any informal resolution process will be determined by the Parties and the Title IX Coordinator, in consultation together. Prior to commencing the informal resolution process agreed upon, the Title IX Coordinator will transmit a written notice to the Parties that:

- Describes the parameters and requirements of the informal resolution process to be utilized;
- Identifies the individual responsible for facilitating the informal resolution (who may be the Title IX Coordinator, another University official, or a suitable third-Party);

- Explains the effect of participating in informal resolution and/or reaching a final resolution will have on a Party's ability to resume the investigation and adjudication of the allegations at issue in the Formal Complaint; and
- Explains any other consequence resulting from participation in the informal resolution process, including a description of records that will be generated, maintained, and/or shared.

After receiving the written notice specified in this paragraph, each Party must voluntarily provide written consent to the Title IX Coordinator, before the informal resolution may commence. The University will not pressure or compel any individual to engage in mediation, to directly confront the other, or to participate in any particular form of informal resolution. Individuals may be accompanied by an adviser or support person at any meetings related to the informal resolution process.

If the Parties reach a resolution through the informal resolution process, and the Title IX Coordinator agrees that the resolution is not clearly unreasonable, the Title IX Coordinator will reduce the terms of the agreed resolution to writing and present the resolution to the parties for their written signature. Once both parties and the Title IX Coordinator sign the resolution, the resolution is final, and the allegations addressed by the resolution are considered resolved and will not be subject to further investigation, adjudication, remediation, or discipline by the University, except as otherwise provided in the resolution itself, absent a showing that a Party induced the resolution by fraud, misrepresentation, or other misconduct or where required to avoid a manifest injustice to either Party or to the University. Notwithstanding the forgoing if the form of informal resolution is Administrative Adjudication, there shall not be an agreed resolution requiring the parties' signatures; instead, the determination issued by the administrative officer shall serve as the resolution and conclude the informal resolution process, subject only to any right of appeal. With the exception of a resolution resulting from the Administrative Adjudication process, all other forms of informal resolution pursuant to this Section are not subject to appeal.

~~D~~

D. Informal Resolution Options

The office of Title IX at Stephen F. Austin State University offers the following informal resolution procedures for addressing Formal Complaints of Sexual Harassment covered in this policy:

Mutual No-Contact Directive: A mutual no-contact directive is a contract provided by the Office of Title IX, the terms of which are that the parties will not initiate contact with each other in person, over text or social media, or through third parties.

Mediation: The purpose of mediation is for the involved parties to identify appropriate remedies to resolve the allegations and maintain equitable access to educational activities. During mediation, a facilitator will guide a conversation between parties in separate meetings; the parties will be asked not to contact each other directly during the process. Mediation may not result in disciplinary action against a Respondent but may include imposing appropriate and reasonable remedies as agreed to by the parties.

Administrative Adjudication: Administrative Adjudication is a form of informal resolution. Notwithstanding the foregoing if the form of informal resolution is administrative adjudication, there shall not be an agreed resolution requiring the parties' signatures; instead, the determination issued by the administrative officer shall serve as the resolution and conclude the informal resolution process, subject only to any right of appeal.

With the exception of a resolution resulting from the Administrative Adjudication process, all other forms of informal resolution are not subject to appeal.

E. Termination of Informal Resolution

A Party may withdraw their consent to participate in informal resolution at any time before a resolution has been finalized. *If the parties withdraw from the informal resolution process, information disclosed or obtained during the informal resolution may be included as evidence during the formal investigation and live hearing.*

~~E~~

F. Deadlines for Informal Resolution

Absent extension by the Title IX Coordinator, any informal resolution process must be completed within ~~21 calendar days.~~*15 university business days, unless otherwise deemed by the Title IX Coordinator.* If an informal resolution process does not result in a resolution within 21 calendar days, and absent an extension, abeyance, or other contrary ruling by the Title IX Coordinator, the informal resolution process will be deemed terminated, and the Formal Complaint will be resolved pursuant to the investigation and adjudication procedures. The Title IX Coordinator may adjust any time periods or deadlines in the investigation and/or adjudication process that were suspended due to the informal resolution.

During the pendency of the informal resolution process, the investigation and adjudication processes that would otherwise occur are stayed and all related deadlines are suspended.

XIX. Other Investigation and Adjudication Considerations

A. Advisor of Choice

From the point a Formal Complaint is made, and until an investigation, adjudication, and appeal are complete, the Complainant and Respondent will have the right to be accompanied by an advisor of their choice to all meetings, interviews, and hearings that are part of the investigation, adjudication, and appeal process. The advisor may be, but is not required to be, an attorney.

Except for the questioning of witnesses during the hearing, the advisor will play a passive role and is not permitted to communicate on behalf of a Party, insist that communication flow through the advisor, or communicate with the University about the matter without the Party being included in the communication. In the event a Party's advisor of choice engages in material violation of the parameters specified in this policy, the University may preclude the advisor from further participation, in which case the Party may select a new advisor of their choice.

In the event a Party is not able to secure an advisor to attend the and requests the University to provide an advisor, the University will provide the Party an advisor, without fee or charge, who will conduct questioning on behalf of the Party at the hearing. The University will have sole discretion to select the advisor it provides. The advisor the University provides may be, but is not required to be, an attorney.

The University will provide an advisor to any Party upon receipt of a request to the Title IX Coordinator or their designee. The University will provide an advisor for any Party at a hearing for the purpose of cross-examining a Party or witness.

The role of advisors in cross-examination in Title IX hearings shall not constitute the practice of law as reserved for a licensed attorney. Licensed attorneys retained as advisors for Title IX proceedings shall fill the role of an advisor, not the role of an attorney.

B. *Conflicts of Interest, Bias, and Procedural Complaints*

The Title IX Coordinator, investigator, hearing officer, administrative officer, appeals officer, and informal resolution facilitator will be free of any material conflicts of interest or material bias. Any Party who believes one or more of these University officials has a material conflict of interest or material bias must raise the concern promptly so that the University may evaluate the concern and find a substitute, if appropriate. The failure of a Party to timely raise a concern of a conflict of interest or bias may result in a waiver of the issue for purposes of any appeal.

C. *Objections Generally*

Parties are expected to raise any objections, concerns, or complaints about the investigation, adjudication, and appeals process in a prompt and timely manner so that the University may evaluate the matter and address it, if appropriate.

D. *Treatment Records and Other Privileged Information*

During the investigation and adjudication processes, the investigator and adjudicator are not permitted to access, consider, disclose, permit questioning concerning, or otherwise use:

- a Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional or paraprofessional's capacity, or assisting in that capacity, and which are made and maintained in connection with the provision of treatment to the Party; or
- information or records protected from disclosure by any other legally-recognized privilege, such as the attorney-client privilege

unless the University has obtained the Party's voluntary, written consent to do so for the purposes of the investigation and adjudication process.

Notwithstanding the foregoing, the investigator and/or adjudicator, may consider any such records or information otherwise covered by this Policy if the Party holding the privilege affirmatively discloses the records or information to support their allegation or defense.

E. *Sexual History*

During the investigation and adjudication processes, questioning regarding a Complainant's sexual predisposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed the conduct alleged, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent. Notwithstanding the foregoing, a Complainant who affirmatively uses information otherwise considered irrelevant by this Section for the purpose of supporting the Complainant's allegations, may be deemed to have waived the protections of this Section.

F. *Student Withdrawal or Graduation Pending Disciplinary Charges*

If a student withdraws or graduates from the University pending an investigation of a complaint of Sexual Misconduct under this Policy, the University will expedite the disciplinary process as necessary to accommodate both the Complainant and the Respondent's interest in a speedy resolution and continue the investigation with or without the participation of the Respondent.

G. *Academic Freedom*

The University will construe and apply this Policy consistent with the principles of academic freedom specified in policy 7.3, Academic Freedom and Responsibility. In no case will a Respondent be found to have committed Sexual Harassment based on expressive conduct that is protected by the principles of academic freedom specified in university policy.

XX. Other Policy Violations

A. *Bad Faith Complaints and False Information*

It is a violation of this policy for any person to submit a report or Formal Complaint that the person knows, at the time the report or Formal Complaint is submitted, to be false or frivolous. It is also a violation of this policy for any person to knowingly make a materially false statement during the course of an investigation, adjudication, or appeal under this policy. Violations of this Section are not subject to the investigation and adjudication processes in this policy; instead, they will be addressed under the Student Code of Conduct in the case of students and other University policies and standards, as applicable, for other persons.

B. *Other Sex-Based Misconduct*

This policy applies only to Sexual Harassment as defined in this Policy. Complaints of other forms of sex discrimination are governed by policy 2.11, Nondiscrimination Policy.

XXI. Sanctions

I. Disciplinary sanctions or other actions that are not supportive measures shall not be imposed on Respondents prior to a determination of responsibility except in cases meeting the requirements for emergency removals.

J. The designated administrator may decide sanctions, if any, or may delegate the sanctioning decision to another authority. Sanctioning decisions involving employees must be determined in consultation with Human Resources.

K. Sanctions may have rehabilitative, educational, and restorative elements for students. In addition, sanctions may have punitive components. Examples of sanctions may include, but are not limited to, written reprimand or warning, required training, no-contact directives, probation, suspension, and employment dismissal and/or expulsion.

L. Students found responsible for committing Dating or Domestic Violence and/or Sexual Assault will be subject to permanent expulsion with a minimum sanction of a one-year suspension, in the absence of sign~~i~~ficant mitigating factors.

M. Students found responsible for committing acts of Sexual Harassment, Sexual Assault, Stalking, Dating Violence, Domestic Violence, and/or any other sex-based misconduct who are allowed to return after a suspension of one year or more will be ineligible to represent the university in any way or to hold an office in any recognized student organization. This includes intercollegiate athletics or other competitions, both on and off campus, and ineligible to receive an institutional scholarship, in the absence of significant mitigating factors.

N. When an employee is found to have sexually harassed or engaged in sex-based misconduct as defined in this policy, the sanction will be termination of employment.

O. For sex discrimination complaints, both the Complainant(s) and the Respondent(s) will be informed in writing of any and all sanctions, except when to do so would violate state or federal law (e.g., Family Educational Rights and Privacy Act).

XXII. Records Retention

The University shall meet minimum requirements for Title IX processes records retention (whether digital or analog) set forth by federal regulation, state law, and university policy.

~~XXI.~~*XXIII.* Discretion in Application

A. *Interpretation*

The University retains discretion to interpret and apply this Policy in a manner that is not clearly unreasonable, even if the University's interpretation or application differs from the interpretation of the Parties.

The provisions of this Policy and the Hearing Procedures are not contractual in nature, whether in their own right, or as part of any other express or implied contract. Accordingly, the University retains discretion to revise this Policy and the Hearing Procedures at any time, and for any reason. The University may apply Policy revisions to an active case provided that doing so is not clearly unreasonable.

B. *Outside Appointments, Dual Appointments, and Delegations*

The University retains discretion to retain and appoint suitably qualified persons who are not University employees to fulfill any function of the University under this policy, including, but not limited to, the investigator, hearing officer, administrative officer, informal resolution officer, and/or appeals officer. The University also retains discretion to appoint two or more persons to jointly fulfill the role of investigator, hearing officer, administrative officer, informal resolution officer, and/or appeals officer.

The functions assigned to a given University official under this policy, including but not limited to the functions assigned to the Title IX Coordinator, investigator, hearing officer, administrative officer, informal resolution officer, and appeals officer, may, in the University's discretion, be delegated by such University official to any suitably qualified individual and such delegation may be recalled by the University at any time.

C. *Vendors, Contractors and Third Parties*

The University does business with various vendors, contractors, and other third-parties who are not students or employees of the University. Notwithstanding any rights that a given vendor, contractor, or third-party Respondent may have under this policy, the University retains its right to limit any vendor, contractor, or third-party's access to campus for any reason. And the University retains all rights it enjoys by contract or law to terminate its relationship with any vendor, contractor, or third-party irrespective of any process or outcome under this policy.

D. *Recordings*

Wherever this policy specifies that an audio or video recording will be made, the recording will be made only by the University and is considered property of the University, subject to any right of access that a Party may have under this policy, FERPA, and other applicable federal, state, or local

laws. Only the University is permitted to make audio or video recordings under this policy. The surreptitious recording of any meeting, interview, hearing, or other interaction contemplated under this policy is strictly prohibited. ~~Any Party who wishes to transcribe a hearing by use of a transcriptionist must seek pre-approval from the hearing officer~~*Should any Party desire a transcription of the recording, a request should be made to the Title IX Office and the requesting Party is responsible for all associated costs*.

E. *Relationship With Criminal Process*

This policy sets forth the University's processes for responding to reports and Formal Complaints of Sexual Harassment. The University's processes are separate, distinct, and independent of any criminal processes. While the University may temporarily delay its processes under this policy to avoid interfering with law enforcement efforts if requested by law enforcement, the University will otherwise apply this policy and its processes without regard to the status or outcome of any criminal process.

XXIV. Revocation by Operation of Law

Should any portion of the Title IX Final Rule, 85 Fed. Reg. 30026 (May 19, 2020), be stayed or held invalid by a court of law, or should the Title IX Final Rule be withdrawn or modified to not require the elements of this policy, this policy, or the invalidated elements of this policy, will be deemed revoked as of the publication date of the opinion or order and for all reports after that date, as well as any elements of the process that occur after that date if a case is not complete by that date of opinion or order publication. Should Policy 2.13, Title IX be revoked in this manner, any conduct covered under Policy 2.13 Title IX shall be investigated and adjudicated under the existing Nondiscrimination Policy 2.11.

Cross Reference: Nondiscrimination (2.11); Academic Freedom and Responsibility (7.3); Faculty Code of Conduct (7.11); Tenure and Continued Employment (7.29); Student Code of Conduct (10.4); Discipline and Discharge (11.4); Title IX of the Education Amendments Act of 1972, 20 U.S.C. §§ 1681; 42 U.S.C. § 1981; 34 C.F.R. Part 106; Tex. Educ. Code §§ 51.251-.260, .281-.293; Tex. Fam. Code §§ 71.0021, 004

Responsible for Implementation: President

Contact for Revision: Title IX Coordinator

Forms: Sexual Misconduct Reporting Form, Sexual Misconduct Appeal of Investigation Findings Form, ~~Responsible Employee~~ *Mandatory Reporter*- Title IX Reporting Form

Board Committee Assignment: Academic and Student Affairs

Stephen F. Austin State University

Board of Regents

Academic and Student Affairs Committee Tour

Monday, July 25, 2022

Schedule

10:00 a.m. Travel from Austin Building to McKibben Building

10:10 a.m. Tour floors of McKibben Building

Led by: Dr. Judy Abbott, Dean, James I. Perkins College of Education

Dr. Scott Hutchens, Chair, Psychology

Dr. Michara DeLaney-Fields, Chief Diversity Officer

Dr. Michael Tkacik, Director, School of Honors

Dr. Gary Wurtz, Dean, Micky Elliott College of Fine Arts

10:55 a.m. Depart for Ralph W. Steen Library

11:00 a.m. Tour floors of Ralph W. Steen Library

Led by: Linda Reynolds, Director of East Texas Research Center

M.E. McWilliams, Director, AARC

Raquel Skidmore, Director, Student Success Center

Melissa Clark, Assessment and User Experience Librarian

11:55 a.m. Depart Ralph W. Steen Library

Adjourn Academic and Student Affairs Committee Meeting

12:00 p.m. Break for Lunch

2022 Summer

PDE - Advising

Psychology

SFA Press

PRODUCED BY AN AUTODESK EDUCATIONAL PRODUCT

PRODUCED BY AN AUTODESK EDUCATIONAL PRODUCT

EDUCATION BLDG

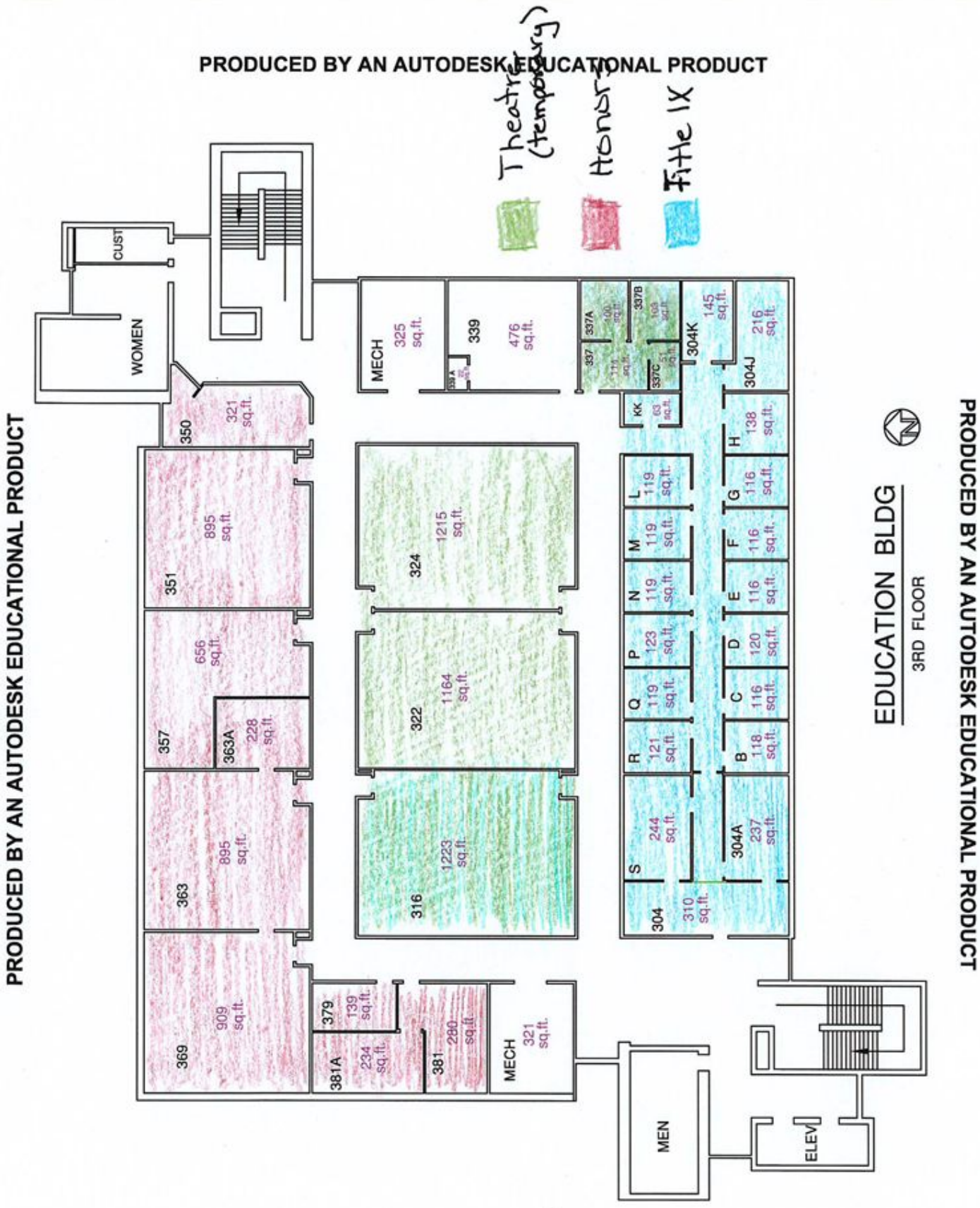
1st FLOOR

PRODUCED BY AN AUTODESK EDUCATIONAL PRODUCT

PRODUCED BY AN AUTODESK EDUCATIONAL PRODUCT

2022 Summer


PRODUCED BY AN AUTODESK EDUCATIONAL PRODUCT
PCOE - Dean's Office
PCOE/Music (temporary)
- Psychology
EDUCATION BLDG
2ND FLOOR
WOMEN
CUST 109 sq.ft.
MECH 331 sq.ft.
241 273 sq.ft.
215N 229 sq.ft.
215M 136 sq.ft.
215K 147 sq.ft.
215H 145 sq.ft.
224 sq.ft.
G
F 126 sq.ft.
E 126 sq.ft.
D 126 sq.ft.
C 126 sq.ft.
B 127 sq.ft.
215A 256 sq.ft.
Q 113 sq.ft.
P 115 sq.ft.
R 115 sq.ft.
S 115 sq.ft.
T 239 sq.ft.
215 AC 54 sq.ft.
213B 379 sq.ft.
213A 252 sq.ft.
213 157 sq.ft.
213 C 42 sq.ft.
244 87 sq.ft.
242 88 sq.ft.
240 89 sq.ft.
226A
238 94 sq.ft.
254 249 sq.ft.
226 184 sq.ft.
226B
256 234 sq.ft.
224 108 sq.ft.
258 1155 sq.ft.
264 342 sq.ft.
212 601 sq.ft.
212A 261 sq.ft.
251 549 sq.ft.
252 287 sq.ft.
252A 74 sq.ft.
257 897 sq.ft.
263 842 sq.ft.
263 A 49 sq.ft.
269 857 sq.ft.
269 A 43 sq.ft.
279 128 sq.ft.
281 A 88 sq.ft.
281 422 sq.ft.
MECH 372 sq.ft.
MEN
ELEV
PRODUCED BY AN AUTODESK EDUCATIONAL PRODUCT
PRODUCED BY AN AUTODESK EDUCATIONAL PRODUCT
PRODUCED BY AN AUTODESK EDUCATIONAL PRODUCT


PRODUCED BY AN AUTODESK EDUCATIONAL PRODUCT
Theatre (temporary)
Honors
Title IX
CUST
WOMEN
MECH
325 sq.ft.
339
476 sq.ft.
337A
100 sq.ft.
337B
103 sq.ft.
337
111 sq.ft.
337C
51 sq.ft.
304K
145 sq.ft.
304J
216 sq.ft.
KK
63 sq.ft.
350
321 sq.ft.
351
895 sq.ft.
357
656 sq.ft.
363A
228 sq.ft.
363
895 sq.ft.
369
909 sq.ft.
379
139 sq.ft.
381A
234 sq.ft.
381
280 sq.ft.
MECH
321 sq.ft.
324
1215 sq.ft.
322
1164 sq.ft.
316
1223 sq.ft.
L 119 sq.ft.
M 119 sq.ft.
N 119 sq.ft.
P 123 sq.ft.
Q 119 sq.ft.
R 121 sq.ft.
S 244 sq.ft.
304
310 sq.ft.
H 138 sq.ft.
G 116 sq.ft.
F 116 sq.ft.
E 116 sq.ft.
D 120 sq.ft.
C 116 sq.ft.
B 118 sq.ft.
304A 237 sq.ft.
EDUCATION BLDG
3RD FLOOR
MEN
ELEV
PRODUCED BY AN AUTODESK EDUCATIONAL PRODUCT
PRODUCED BY AN AUTODESK EDUCATIONAL PRODUCT
PRODUCED BY AN AUTODESK EDUCATIONAL PRODUCT


PRODUCED BY AN AUTODESK EDUCATIONAL PRODUCT
Theatre/Music (temporary)
PADE - Assessment & Accessibility
Zoom classroom
EDUCATION BLDG
4TH FLOOR
CUST
WOMEN
MECH
MEN
ELEV
PRODUCED BY AN AUTODESK EDUCATIONAL PRODUCT
PRODUCED BY AN AUTODESK EDUCATIONAL PRODUCT

McKibben Building
July 26, 2022

-Requesting to reassign space on the first floor to PCOE Dean's Office and support offices—currently PCOE Student Services & Advising is at McKibben 118, so requesting to add the Dean's Office and to the PCOE Assessment & Accountability
-Requesting to remodel McKibben 1st floor to include the PCOE Dean's and support offices, meeting spaces, and open spaces

-requesting to release space on floors 2, 3, & 4 to the space needs for other student affairs, university affairs, and academic affairs beyond PCOE

Current residents of McKibben (color-coded maps available)

1st floor
- PCOE Student Services & Advising, Rm 218
- PCOE Auditorium, Rm 131
- SFA Press
- CLAA, Department of Psychology, classroom, research/meeting spaces

2nd floor
- PCOE Dean's Office, Suite 213, Conference Rm 281
- CLAA, Department of Psychology, offices, classrooms, research/meeting spaces
- MECFA, School of Music, composition, swing space, offices, Suite 212

3rd floor
- School of Honors
- Diversity, Equity and Inclusion Offices
- Information Technology Services
- MECFA, School of Theatre, swing space, classrooms

4th floor
- PCOE Assessment & Accountability
- MECFA, School of Theatre, swing space, offices
- MECFA, School of Music, sound recording, swing space, classrooms
- Zoom Classroom

Stephen F. Austin State University
Department of Psychology

About the Department

- Department faculty currently consists of 11 tenured & tenure-track faculty (including the chair) and 1 lecturer.
    - The department is currently down 4 faculty.
        - Two open assistant professor positions
        - One faculty member is serving as interim chair for Human Services and Educational Leadership.
        - A lecture position was not renewed.
- Cost-Effective Program
    - Instructor Salary Cost per SCH: **$94**
        - 6th lowest Salary Cost per SCH in the university
- We offer BA and BS programs in Psychology and a MA program in General Psychology.
- We recently collaborated with the Department of Anthropology, Geography, and Sociology to offer a new online MA program in Teaching College Social Science.
    - Online 18-hour Graduate Certificate in Teaching College Psychology
- Research laboratory space & equipment (biopsychological measurement equipment: EEG, stress test, eye-tracker)

BA and BS Program

- Fall 21 enrollment: **402**
    - One of the largest majors at SFA
- Degrees awarded the last three years: **93, 95, & 99**
- Online 2+2 partnerships with Tyler Junior College
    - Developing more
- Overlap Plan for undergraduate students to take graduate courses
- Faculty-mentored research opportunities (volunteer work in faculty research laboratories and Special Problems PSYC 4175 and Research Seminar PSYC 4397)
    - Hands-on research experiences and statistical training
    - Strong critical-thinking and scientific communication skills
- Internship opportunities (Psychology Internship PSYC 4109)
- Study abroad opportunity

- Student engagement and community
    - Psychology Club
    - Psi Chi (International Honor Society in Psychology)
- Students graduate with marketable and transferable skills including but not limited to ethical judgment, adaptability, critical thinking skills, quantitative skills, and communication skills.

MA General Psychology Program

- Fall 21 enrollment**: 18**
- Degrees awarded the last three years: **3, 6, 2**
- Graduate Assistantships: **9**
- Research focused program
    - Students acquire a high level of sophistication in statistics, experimental design, and psychological measurement.
    - Opportunities to join faculty research laboratories and gain expertise and publication opportunities in a specialized area of research
- Thesis option – Students develop and carry out original research projects.
- Teaching option with capstone experience in Practicum in Teaching Psychology PSYC 5328 in which students gain experience teaching introductory level courses under faculty supervision.
- Graduates are well prepared for doctoral programs and to enter the workforce as statistical consultants or research associates in a variety of settings including but not limited to research institutes, marketing, and non-profit organizations.

MA in Teaching College Social Sciences Program

- Program started in **2021**
- Fall 21 enrollment**: 3**
- Two-year 36 credit hour online program offered in collaboration with the Department of Anthropology, Geography, and Sociology
- Focus on teaching college psychology and sociology courses
    - Stackable certificates
        - Teaching College Psychology (18 credit hours)
        - Teaching College Sociology (18 credit hours)
- Each 18-hour certificate is designed to prepare students to teach undergraduate psychology and sociology courses that are commonly taught at universities, community colleges, and as dual credit courses.
- Successful program completion qualifies graduates to teach according to SACSCOC standards.



96% of students with 5+ visits for a given course passed. 89% passed with an A, B, or C.

69% of clients say AARC made them confidant in their abilities. 100% would return.

28% of students with an SI Group participated in an SI session.

11,000+ visits for more than 150 SI Groups.

AARC TUTORING

IMPACT SNAPSHOT 2022

150 Lumberjack tutors maintaining student momentum, reducing time to graduation, and SAVING STUDENTS MONEY!

65% of FT African American/Black male students used the AARC.

83% retention rate for all FT African American/Blacks with 5+ visits. **93%** retention for FT African American/Black Male clients with 5+ visits.

83% of those students with 5+visits for Stats passed with an A, B, or C. 100% passed.



82% of courses with both high failure rates (more than 20 failed) AND high enrollments (more than 50) were supported.

34% of these courses had **25%** or more students attend AARC 5 or more times.



59% of all first-time students used the AARC (up from 30% in 2017).

89% of SI clients with 5+ visits made an A, B, or C and averaged a **2.96** GPA for the course.

68% of those in college algebra had 5+visits to AARC. 64% passed. 49% made an A, B, or C.



Most measures are from Fall 2021



HAVE NO FEAR! AARC IS HERE!

The Academic Assistance and Resource Center (AARC) has been impacting student confidence, performance, and independent learning for THOUSANDS of Jacks since 1983.

My tutor is very passionate about helping me! Going to the AARC has boosted my confidence!

I really enjoy coming in and knowing that I'm not helpless!

My tutor really changed my college experience!

I'm not afraid to make a mistake here!

I feel very comfortable asking questions at AARC.

It is 100% worth the money that the college invests into AARC!

Come to an SI GROUP with other classmates and prepare for an exam with a student who already passed that class!

Drop-in on a WALK-IN TABLE for immediate help with math, writing, and other subjects.

Submit a paper for feedback to our OWL (online writing lab) in D2L.

Book an APPOINTMENT and see the same tutor for the same subject all semester.

Pick up a FREE SCANTRON. Check out a calculator or textbook. We got you Jacks!

★ **Winner of the Texas Higher Education Star Award. Certified at all three level by the College, Reading, and Learning Association.**





**Most measures are from Fall 2021*

STEPHEN F. AUSTIN
STATE UNIVERSITY
Ralph W. Steen Library

Fast Facts

Average Visitors per Week
Fall 2021: **10,408**
Spring 2022: **8,766**

378,100 E-books

55,591 E-journals

ETRC
709 Unique Collections

19,000 East Texas Digital Archives Users

33,000 Collection Guides Users

ACTION PLAN: ELEVATING SFA

presented to the Board of Regents July 25, 2022

Steen Library will elevate SFA by:

A. Generating revenue by supporting the Continuing Education Program and degree programs:

   Action Plan:

   1) Create additional multipurpose rooms that have flexible walls and furniture, and appropriate technology (video conferencing, etc.)

      Example: The ETRC (East Texas Research Center) creates a certificate or micro-credential in archival management following industry requirements (usually 5 classes and can be post graduate). Using this type of space, the ETRC will hold classes for museum & historical societies' staff within a 100-mile radius and create a revenue stream for the University.

B. Supporting students, which ultimately leads to higher graduation and retention rates and lowers student debt.

   Action Plan:

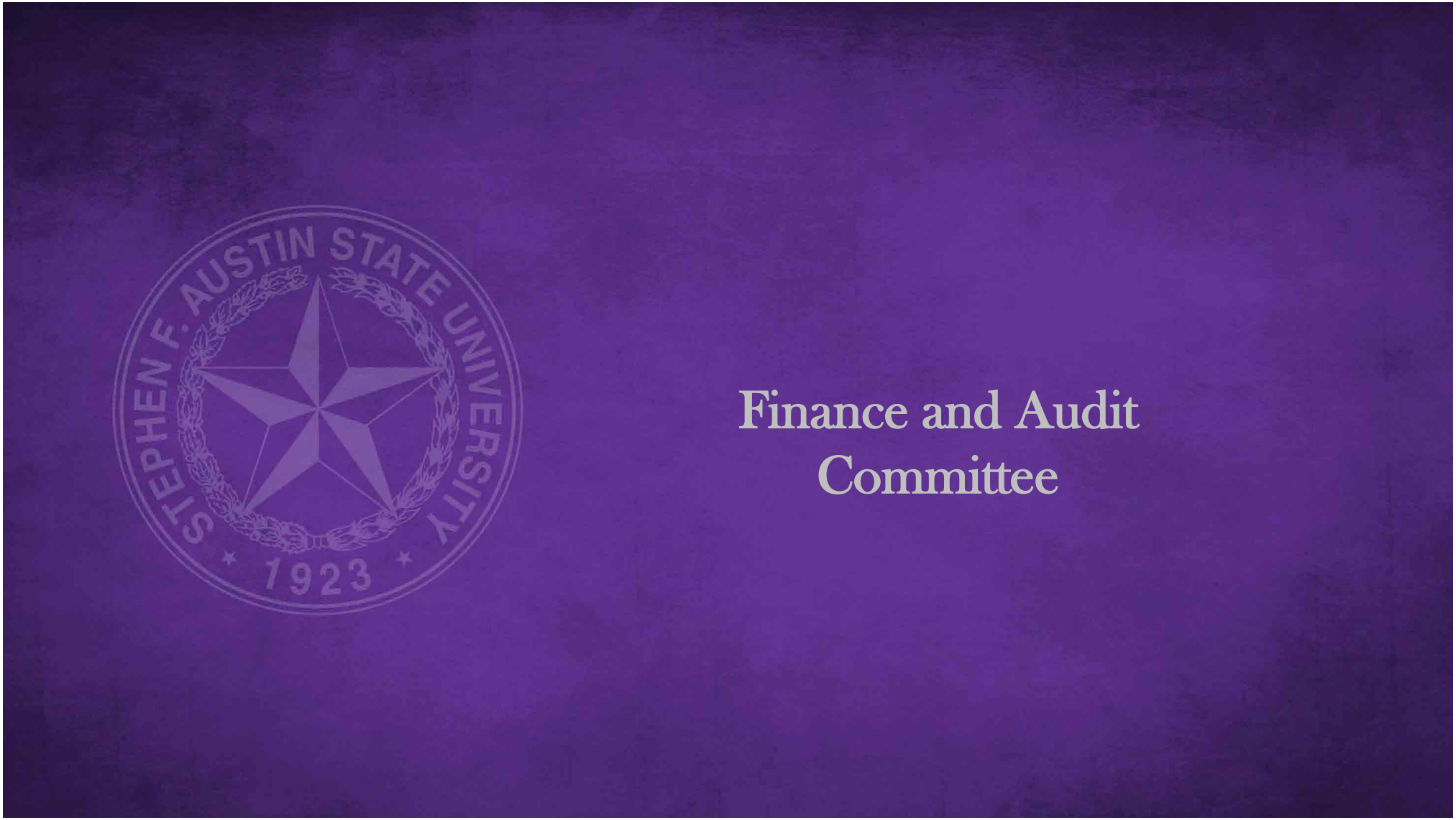
   1) Create more study rooms (individual and group) from 18 to 40 to meet demand. This includes rooms for undergraduate and graduate students using ETRC materials.

   2) Create a multidisciplinary undergraduate and graduate research center. This will allow the University to expand undergraduate and graduate research opportunities and to support the CARRI program. A separate small center will be created for the ETRC so faculty and students (e.g., graduate students who are using ETRC materials for thesis work) can use archival materials.

   3) Create various type of study spaces with movable furniture (tables with wheels, etc.), flexible lighting, comfortable seating, whiteboards, and electrical outlets.

In order to accomplish these action plans, the Library needs the following infrastructure:

- Fire suppression systems installed so construction can be done to create the above spaces. Also, to meet fire code the library book shelving in the general stacks and the ETRC will be need to lowered. Another alternative is to remove the redo the ceilings in some areas to create more height between the shelving and the ceiling.
- New library book shelving, carpet (note: there are safety issues with the current carpet, such as torn carpet edges that can be tripping hazards), and electrical outlets.
- ADA Compliance – for example: restroom and study room accessibility, book stacks spacing (General Stacks and ETRC Collections, including an expansion of the ETRC Collections area to meet compliance), library services desk height, and more handicap parking.


STEPHEN F. AUSTIN STATE UNIVERSITY
1923
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:

Information Technology Follow-Up Audit
External Information Technology Follow-Up Audit
Procurement Card Audit
Contract Management and Procurement Audit
Coin Collection Inventory
Juanita Curry Boynton House Inventory
External Quality Assurance Review
Update on Audit Plan

Recommendation:

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

ANNUAL AUDIT PLAN FOR 2022-2023

Explanation:

According to the *Board Rules and Regulations*, the chief audit executive shall annually submit information on the annual audit plan, work schedule and staffing plan to the president for review and to the Board of Regents for their approval.

Recommendation:

Pending consideration and recommendation by the Finance and Audit Committee that the annual audit plan be approved as presented.

RESOLUTION FOR 2019A AND 2019B UNSPENT BOND PROCEEDS

Explanation:

The Board of Regents of Stephen F. Austin State University on February 6, 2019 issued its Revenue Financing System Bonds Series 2019A and Revenue Financing System Bonds Taxable Series 2019B to finance the acquisition, purchase, construction, improvement, renovation, enlargement or equipment of property, buildings, structures, facilities, roads or related infrastructure of University projects. With the March 2020 coronavirus pandemic, on campus operations were ceased for a period of time which severely impacted the university. As a result, the use of the Series 2019A unspent bond proceeds for the Residence Hall and Series 2019B unspent bond proceeds for the Dining Hall Facility were reevaluated by administration. The University's Bond Counsel drafted A Resolution Designating and Confirming Projects For Expenditure Of Unspent Bond Funds From The Board's Revenue Financing System Bonds, Series 2019A And Taxable Series 2019B; Authorizing Other Matters Incident And Related Thereto; And Providing An Effective Date as shown in the Appendix.

Recommendation:

The administration recommends adoption of A Resolution Designating and Confirming Projects For Expenditure Of Unspent Bond Funds From The Board's Revenue Financing System Bonds, Series 2019A And Taxable Series 2019B; Authorizing Other Matters Incident And Related Thereto as presented in the Appendix.

A RESOLUTION DESIGNATING AND CONFIRMING PROJECTS FOR EXPENDITURE OF UNSPENT BOND FUNDS FROM THE BOARD'S REVENUE FINANCING SYSTEM BONDS, SERIES 2019A AND TAXABLE SERIES 2019B; AUTHORIZING OTHER MATTERS INCIDENT AND RELATED THERETO; AND PROVIDING AN EFFECTIVE DATE

WHEREAS, the Board of Regents (the "Board") of Stephen F. Austin State University (the "University") on February 6, 2019 issued its Revenue Financing System Bonds, Series 2019A (the "Series 2019A Bonds") and Revenue Financing System Bonds, Taxable Series 2019B (the "Taxable Series 2019B Bonds") pursuant to the terms and conditions provided in the "Resolution Authorizing the Issuance of One or More Series of Board of Regents of Stephen F. Austin State University Revenue Financing System Revenue Bonds; Providing for the Security for and Payment of Said Bonds; Establishing Procedures for Selling and Delivering the Bonds; and Approving and Authorizing Instruments and Procedures Relating Thereto" adopted by the Board on October 29, 2018 (the "Bond Resolution"); and

WHEREAS, the Series 2019A Bonds were issued to finance the acquisition, purchase, construction, improvement, renovation, enlargement or equipment of property, buildings, structures, facilities, roads or related infrastructure including the (a) Welcome Center and Student Support Services One Stop Shop, (b) Basketball Practice Facility, (c) Fine Arts Expansion Initiative, (d) Residence Hall and (e) costs of issuing the Series 2019A Bonds; and

WHEREAS, pursuant to Board Order 20-09 approved at the October 27-28, 2019, Board meeting, the Board approved the College of Fine Arts Expansion Project scope to include the School of Art's filmmaking program, the Kinesiology dance program and renovation of Turner Auditorium and increased the budget for such project, in part, by allocating approximately $13 million of the Series 2019A Bond proceeds initially set aside for the construction of a welcome center/one stop shop and deferred construction of such welcome center project; and

WHEREAS, the Taxable Series 2019B Bonds were issued to finance the acquisition, purchase, construction, improvement, renovation, enlargement or equipment of property, buildings, structures, facilities, roads or related infrastructure including a dining hall facility for the University and the Board is proceeding with the expenditure of the Taxable Series 2019B Bonds proceeds, including interest earnings, for the dining hall facility project; and

WHEREAS, in connection with the issuance of the Series 2019A Bonds and the Taxable Series 2019B Bonds, the University procured architects, contractors and other consultants that began planning and designing the Basketball Practice Facility, the Fine Arts Expansion Initiative and the Residence Hall being financed with the Series 2019A Bonds proceeds and the Dining Hall being financed with the Taxable Series 2019B Bonds, respectively; and

WHEREAS, in March 2020 the World Health Organization and the President of the United States separately declared the outbreak of a respiratory disease caused by a novel coronavirus ("COVID-19") to be a public health emergency. On March 13, 2020, the Governor of Texas declared a state of emergency for all counties in the State of Texas because of the effects of COVID-19. Subsequently, in response to a rise in COVID-19 infections in the State,

the Governor issued a number of executive orders intended to help limit the spread of COVID-19 and mitigate injury and the loss of life, including limitations imposed on business operations, social gatherings and other activities; and

WHEREAS, in response to the Governor's actions the University ceased on campus operations and all classes were transitioned to online delivery. Non-essential personnel worked remotely until July 2020. The University's auxiliary functions including residence halls and dining were severely impacted by the loss of housing and dining revenue. As a residential campus, the University requires students to live on campus until completion of 60 hours of undergraduate coursework. The on campus requirement was suspended for fall 2020 and spring 2021 and therefore the University suspended any further action related to the planning, design and construction of the new Residence Hall and Dining Hall; and

WHEREAS, as a result of the impact of COVID-19 and the decline in University revenues, Administration is recommending the Board take action to designate new projects set forth in "Exhibit A" attached hereto for the expenditure of all the remaining unspent and unencumbered Series 2019A Bond proceeds, including interest earnings (which for informational purposes was approximately $23,129,518.35 as of June 1, 2022), originally programmed for the new Residence Hall; and

WHEREAS, the Board hereby finds and determines that the adoption of this Resolution is in the best interests of the University; now, therefore,

BE IT RESOLVED BY THE BOARD OF REGENTS OF STEPHEN F. AUSTIN STATE UNIVERSITY THAT:

SECTION 1: Due to the effects of the COVID-19 pandemic, the Board hereby abandons construction of the Residence Hall as originally planned and further authorizes the expenditure of all remaining Series 2019A Bonds proceeds, including interest earnings, for the designated projects set forth in "Exhibit A" attached hereto.

SECTION 2: The Board hereby confirms proceeding with the dining hall facility and the expenditure of the Taxable Series 2019B Bond proceeds, including interest earnings, for such dining hall facility.

SECTION 3: This Resolution may be relied upon by the appropriate officials at the and establishes compliance by the Board with the requirements of Texas law and the Bond Resolution.

SECTION 4: The recitals contained in the preamble hereof are hereby found to be true, and such recitals are hereby made a part of this Resolution for all purposes and are adopted as a part of the judgment and findings of the Board.

SECTION 5: All resolutions, or parts thereof, which are in conflict or inconsistent with any provision of this Resolution are hereby repealed to the extent of such conflict, and the provisions of this Resolution shall be and remain controlling as to the matters resolved herein.

SECTION 6: This Resolution shall be construed and enforced in accordance with the laws of the State of Texas and the United States of America.

SECTION 7: If any provision of this Resolution or the application thereof to any person or circumstance shall be held to be invalid, the remainder of this Resolution and the application of such provision to other persons and circumstances shall nevertheless be valid, and the Board hereby declares that this Resolution would have been enacted without such invalid provision.

SECTION 8: It is officially found, determined, and declared that the meeting at which this Resolution is adopted was open to the public and public notice of the time, place, and subject matter of the public business to be considered at such meeting, including this Resolution, was given, all as required by Chapter 551, as amended, Texas Government Code.

SECTION 9: This Resolution shall be in force and effect from and after its final passage, and it is so resolved.

EXECUTED this the ____ day of _____, 2022.

_____
Chair, Board of Regents

_____
Secretary, Board of Regents

EXHIBIT A

The acquisition, purchase, construction, improvement, renovation, demolition, enlargement or equipment of property, buildings, structures, facilities, roads or related infrastructure for the following projects:

(1) Residence halls deferred maintenance, including demolishing certain residence halls;
(2) Electric grid analysis;
(3) Academic buildings and facilities deferred maintenance; and
(4) Auxiliary buildings and facilities deferred maintenance.

DINING HALL FACILITY PROJECT BUDGET

Explanation:

With the Resolution Designating And Confirming Projects For Expenditure Of Unspent Bond Funds From The Board's Revenue Financing System Bonds, Series 2019A And Taxable Series 2019B; Authorizing Other Matters Incident and Related Thereto; And Providing An Effective Date, the board of regents next step is to approve project budgets in accordance with policy 1.4, Items Requiring Board of Regents Approval.

For the Taxable Bonds Series 2019B for the Dining Facility, the board of regents previously ratified a project budget in October 2021 for Dining Facilities expenditures in the amount of $194,444.05 through October 31, 2021.

The bond proceeds of $15,800,000 and interest earnings through May 31, 2022 in the amount of $533,832.78 less the project budget already approved in the amount of $194,444.05 provide a balance of $16,139,388.73 available for the Dining Facilities additional project budget.

In accordance with the university's Dining Services Agreement with Compass Group USA, Inc. (Chartwells), $6,355,000 is included in the agreement to be used for Dining Facilities. University representatives are currently in discussion with Chartwells and the university's architects for the best use and treatment of the $6,355,000.

Recommendation:

The administration recommends approval of the Dining Facilities additional project budget in the amount of $16,139,388.73 and authorization for the president to sign project-associated contracts and purchase orders in accordance with policy 1.4, Items Requiring Board of Regents Approval.

RESIDENCE HALLS, AUXILIARY, AND ACADEMIC DEFERRED MAINTENANCE AND IMPROVEMENTS PROJECT BUDGETS

Explanation:

With the Resolution Designating And Confirming Projects For Expenditure Of Unspent Bond Funds From The Board's Revenue Financing System Bonds, Series 2019A And Taxable Series 2019B; Authorizing Other Matters Incident and Related Thereto; And Providing An Effective Date agenda item, the Board of Regents next step is to approve project budgets in accordance with policy 1.4, Items Requiring Board of Regents Approval.

For the nontaxable Bonds Series 2019A for the Residence Halls, Auxiliary, and Academic Deferred Maintenance and Improvements Project Budgets, the board of regents previously ratified a project budget in October 2021 for Student Residential Facilities expenditures in the amount of $1,090,308.67 through October 31, 2021.

In January 2022, the board of regents approved an amount not to exceed $200,000 for a campus assessment. Actual expenditures including encumbrances for the campus assessment total $199,850.

The bond proceeds of $23,700,000 and interest earnings through May 31, 2022 in the amount of $719,677.02 less project budget approved in October 2021 in the amount of $1,090,308.67 provides a balance of $23,329,368.35 available for projects.

Anticipated use of the remaining funds includes Residence Halls and Auxiliary Deferred Maintenance and Improvements of $20,401,518.35; campus assessment authorized by the board of regents in January 2022 of $199,850; electric grid study of $158,000; Wright Music Building Roof Deferred Maintenance and Improvements of $500,000; Art Building HVAC Deferred Maintenance and Improvements of $1,400,000; and Health and Wellness Services Facility Deferred Maintenance and HVAC Improvements of $670,000.

For the Health and Wellness Services Facility, an additional $230,000 is allocated to the project in the 2022-23 institutional operating budget Higher Education Fund (HEF) allocation for a total project budget of $900,000.

Recommendation:

The administration recommends approval of the Residence Halls, Auxiliary, and Academic Deferred Maintenance Improvements additional project budgets as follows:

Project	Amount	Funding Source and Notes
Residence Halls and Auxiliary Deferred Maintenance and Improvements	$ 20,401,518.35	2019A Bond Proceeds and Interest
Campus Assessment	$ 199,850.00	2019A Bond Proceeds and Interest
Electric Grid Study	$ 158,000.00	2019A Bond Proceeds and Interest
Health and Wellness Services Facility Deferred Maintenance and HVAC Improvements	$ 900,000.00	2019A Bond Proceeds and Interest of $670,000 and FY 23 HEF of $230,000
Wright Music Building Roof Deferred Maintenance and Improvements	$ 500,000.00	2019A Bond Proceeds and Interest
Art Building HVAC Deferred Maintenance and Improvements	$ 1,400,000.00	2019A Bond Proceeds and Interest
Total Project Budgets	$ 23,559,368.35	Includes $230,000 HEF and is in addition to the project budget of $1,090,308.67 approved in October 2021

The administration recommends contracting for the Art Building HVAC Deferred Maintenance and Improvements with Johnson Controls, Inc. for an amount not to exceed $1,400,000 through The Interlocal Purchasing System (TIPS). The administration recommends authorization for the president to sign associated contracts and purchase orders for the projects in accordance with policy 1.4, Items Requiring Board of Regents Approval.

FISCAL YEAR 2022-2023 TUITION, FEES, WAIVERS AND EXEMPTIONS

Explanation:

Board of Regents policy 1.4, Items Requiring Board of Regents Approval states the following must be approved: Establishment (or change) of tuition, student fees, room and board fees, and all optional statutory tuition exemptions or waivers. Approval must be provided on no less than an annual basis, or when there is any change to the items listed.

A schedule of current tuition and fee items is listed as presented. The tables listed represent the charges for specific student classifications or cohorts:

a) Texas Resident Undergraduate Annual Fixed Price Plan (AFPP)

b) Texas Resident Graduate Annual Fixed Price Plan (AFPP)

c) Border State Tuition and Fee Plan

d) Non-Resident Tuition and Fee Plan

e) Texas Resident Undergraduate Guaranteed Price Plan (GPP)

f) Texas Resident Undergraduate Fixed Rate Tuition Plan (FRTP) for the FY2019 continuing cohort

g) Texas Resident Undergraduate Fixed Rate Tuition Plan (FRTP) for the FY2020 continuing cohort

h) ROTC Military Science Course(s) Rate Table

i) Dual Credit Rate (after Dual Credit exemption)

j) Out-of-State Fully Online Tuition and Fee Plan

k) RELLIS Program Rates

j) RN to BSN Program Rates

No changes to the current SFA tuition and fee rates are proposed for FY2023.

Other documents provided: 2021 Texas Public Higher Education almanac data of average tuition and fees by University; a listing of other student fees; and a summary of exemption and waiver programs authorized by the Texas Legislature and SFASU. While many exemptions and waivers are mandated for all public institutions, some programs are optional and implementation is left to the discretion of the governing board of the institution.

Recommendation:

The administration recommends approval of the tuition and fee rate schedules for the fiscal year 2022-2023.

The administration also recommends that the board affirm the university’s implementation of mandatory and optional exemptions and waivers for the fiscal year 2022-2023.

Fall 2021 (202210)
Texas Residents UG AFPP

Num. of Hrs.	Tx Res	Designated Tuition	Univ Svc Fee	Stud. Svc.	Stud. Cntr.	Int'l Ed. Fee	Reg Records	Rec Sports Fee	Env Svc Fee	Diff Tui	Num. of Hrs.	Total Tx Res
										UG		Undergrad
1	$ 50.00	$ 204.00	$ 83.00	$ 13.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	1	$ **561.50**
2	$ 100.00	$ 408.00	$ 166.00	$ 27.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	2	$ **912.00**
3	$ 150.00	$ 762.00	$ 249.00	$ 40.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	3	$ **1,412.50**
4	$ 200.00	$ 614.50	$ 332.00	$ 54.00	$ 36.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	4	$ **1,412.50**
5	$ 250.00	$ 459.00	$ 415.00	$ 67.50	$ 45.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	5	$ **1,412.50**
6	$ 300.00	$ 1,524.00	$ 498.00	$ 81.00	$ 54.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	6	$ **2,633.00**
7	$ 350.00	$ 1,308.50	$ 581.00	$ 94.50	$ 63.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	7	$ **2,633.00**
8	$ 400.00	$ 1,153.00	$ 664.00	$ 108.00	$ 72.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	8	$ **2,633.00**
9	$ 450.00	$ 1,836.00	$ 747.00	$ 121.50	$ 81.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	9	$ **3,471.50**
10	$ 500.00	$ 2,040.00	$ 830.00	$ 135.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	10	$ **3,826.00**
11	$ 550.00	$ 2,244.00	$ 913.00	$ 148.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	11	$ **4,176.50**
12	$ 600.00	$ 3,221.00	$ 996.00	$ 162.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	12	$ **5,300.00**
13	$ 650.00	$ 3,074.50	$ 1,079.00	$ 175.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	13	$ **5,300.00**
14	$ 700.00	$ 3,074.00	$ 1,016.00	$ 189.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	14	$ **5,300.00**
15	$ 750.00	$ 3,074.00	$ 952.50	$ 202.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	15	$ **5,300.00**
16	$ 800.00	$ 3,074.00	$ 889.00	$ 216.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	16	$ **5,300.00**
17	$ 850.00	$ 3,074.00	$ 825.50	$ 229.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	17	$ **5,300.00**
18	$ 900.00	$ 3,074.00	$ 762.00	$ 243.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	18	$ **5,300.00**
19	$ 950.00	$ 3,074.00	$ 705.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	19	$ **5,300.00**
20	$ 1,000.00	$ 3,074.00	$ 655.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	20	$ **5,300.00**
21	$ 1,050.00	$ 3,074.00	$ 605.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	21	$ **5,300.00**

IMPORTANT: Texas Residents taking some or all on-line courses will be charged a $33 per credit hour Distance Learning fee up to $396 BUT Designated Tuition will be reduced by that same amount - STUDENTS TOTAL CHARGES WILL NOT CHANGE

Fall 2022 (202310)
Texas Residents GR AFPP

Current Tuition and Fees

Num. of Hrs.	Tx Res	Designated Tuition	Discretionary Graduate Rate	Univ Svc Fee	Stud. Svc.	Stud. Cntr.	Int'l Ed. Fee	Reg Records	Rec Sports Fee	Env Svc Fee	Diff Tui	Num. of Hrs.	Total Tx Res
	Please Note: Graduate Students are charged an additional $33 per credit hour for each on-line course up to $396										GR		GRAD
1	$ 50.00	$ 204.00	$ 30.00	$ 83.00	$ 13.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	75.00	1	$ **566.50**
2	$ 100.00	$ 408.00	$ 60.00	$ 166.00	$ 27.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	75.00	2	$ **947.00**
3	$ 150.00	$ 762.00	$ 90.00	$ 249.00	$ 40.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	75.00	3	$ **1,477.50**
4	$ 200.00	$ 614.50	$ 120.00	$ 332.00	$ 54.00	$ 36.00	$ 3.00	$ 8.00	$ 60.00	5.00	75.00	4	$ **1,507.50**
5	$ 250.00	$ 459.00	$ 150.00	$ 415.00	$ 67.50	$ 45.00	$ 3.00	$ 8.00	$ 60.00	5.00	75.00	5	$ **1,537.50**
6	$ 300.00	$ 1,524.00	$ 180.00	$ 498.00	$ 81.00	$ 54.00	$ 3.00	$ 8.00	$ 60.00	5.00	75.00	6	$ **2,788.00**
7	$ 350.00	$ 1,308.50	$ 210.00	$ 581.00	$ 94.50	$ 63.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	7	$ **2,818.00**
8	$ 400.00	$ 1,153.00	$ 240.00	$ 664.00	$ 108.00	$ 72.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	8	$ **2,848.00**
9	$ 450.00	$ 1,836.00	$ 270.00	$ 747.00	$ 121.50	$ 81.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	9	$ **3,716.50**
10	$ 500.00	$ 2,040.00	$ 300.00	$ 830.00	$ 135.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	10	$ **4,101.00**
11	$ 550.00	$ 2,244.00	$ 330.00	$ 913.00	$ 148.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	11	$ **4,481.50**
12	$ 600.00	$ 3,221.00	$ 360.00	$ 996.00	$ 162.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	12	$ **5,635.00**
13	$ 650.00	$ 3,074.50	$ 390.00	$ 1,079.00	$ 175.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	13	$ **5,665.00**
14	$ 700.00	$ 3,074.00	$ 420.00	$ 1,016.00	$ 189.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	14	$ **5,695.00**
15	$ 750.00	$ 3,074.00	$ 450.00	$ 952.50	$ 202.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	15	$ **5,725.00**
16	$ 800.00	$ 3,074.00	$ 480.00	$ 889.00	$ 216.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	16	$ **5,755.00**
17	$ 850.00	$ 3,074.00	$ 510.00	$ 825.50	$ 229.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	17	$ **5,785.00**
18	$ 900.00	$ 3,074.00	$ 540.00	$ 762.00	$ 243.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	18	$ **5,815.00**
19	$ 950.00	$ 3,074.00	$ 570.00	$ 705.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	19	$ **5,845.00**
20	$ 1,000.00	$ 3,074.00	$ 600.00	$ 655.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	20	$ **5,875.00**
21	$ 1,050.00	$ 3,074.00	$ 630.00	$ 605.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	21	$ **5,905.00**

BORDER STATE
Fall 202310 (202310)

Current Tuition and Fees

Num. of Hrs.	Tx Res	Border Res	Designated Tuition	Discretionary Graduate Rate	Univ Svs Fee	Stud. Svc.	Env Svc Advising	Fee Cntr.	Int'l Ed. Fee	Reg Records	Rec Sports Fee	Diff Tui UG	Diff Tui GR	Num. of Hrs.	Total - Non-Res	
Please Note: Border State Students are charged an additional $33 per credit hour for each on-line course up to $396												UG	GR		UG	GR
1	$ 50.00	$ 80.00	$ 204.00	$ 30.00	$ 83.00	$ 13.50	$ 5.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	$ 100.00	$ 75.00	1	$ 591.50	$ 596.50
2	$ 100.00	$ 160.00	$ 408.00	$ 60.00	$ 166.00	$ 27.00	$ 5.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	$ 100.00	$ 75.00	2	$ 972.00	$ 1,007.00
3	$ 150.00	$ 240.00	$ 762.00	$ 90.00	$ 249.00	$ 40.50	$ 5.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	$ 100.00	$ 75.00	3	$ 1,502.50	$ 1,567.50
4	$ 200.00	$ 320.00	$ 614.50	$ 120.00	$ 332.00	$ 54.00	$ 5.00	$ 36.00	$ 3.00	$ 8.00	$ 60.00	$ 100.00	$ 75.00	4	$ 1,532.50	$ 1,627.50
5	$ 250.00	$ 400.00	$ 459.00	$ 150.00	$ 415.00	$ 67.50	$ 5.00	$ 45.00	$ 3.00	$ 8.00	$ 60.00	$ 100.00	$ 75.00	5	$ 1,562.50	$ 1,687.50
6	$ 300.00	$ 480.00	$ 1,524.00	$ 180.00	$ 498.00	$ 81.00	$ 5.00	$ 54.00	$ 3.00	$ 8.00	$ 60.00	$ 100.00	$ 75.00	6	$ 2,813.00	$ 2,968.00
7	$ 350.00	$ 560.00	$ 1,308.50	$ 210.00	$ 581.00	$ 94.50	$ 5.00	$ 63.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	7	$ 2,843.00	$ 3,028.00
8	$ 400.00	$ 640.00	$ 1,153.00	$ 240.00	$ 664.00	$ 108.00	$ 5.00	$ 72.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	8	$ 2,873.00	$ 3,088.00
9	$ 450.00	$ 720.00	$ 1,836.00	$ 270.00	$ 747.00	$ 121.50	$ 5.00	$ 81.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	9	$ 3,741.50	$ 3,986.50
10	$ 500.00	$ 800.00	$ 2,040.00	$ 300.00	$ 830.00	$ 135.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	10	$ 4,126.00	$ 4,401.00
11	$ 550.00	$ 880.00	$ 2,244.00	$ 330.00	$ 913.00	$ 148.50	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	11	$ 4,506.50	$ 4,811.50
12	$ 600.00	$ 960.00	$ 3,221.00	$ 360.00	$ 996.00	$ 162.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	12	$ 5,660.00	$ 5,995.00
13	$ 650.00	$ 1,040.00	$ 3,074.50	$ 390.00	$ 1,079.00	$ 175.50	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	13	$ 5,690.00	$ 6,055.00
14	$ 700.00	$ 1,120.00	$ 3,074.00	$ 420.00	$ 1,016.00	$ 189.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	14	$ 5,720.00	$ 6,115.00
15	$ 750.00	$ 1,200.00	$ 3,074.00	$ 450.00	$ 952.50	$ 202.50	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	15	$ 5,750.00	$ 6,175.00
16	$ 800.00	$ 1,280.00	$ 3,074.00	$ 480.00	$ 889.00	$ 216.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	16	$ 5,780.00	$ 6,235.00
17	$ 850.00	$ 1,360.00	$ 3,074.00	$ 510.00	$ 825.50	$ 229.50	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	17	$ 5,810.00	$ 6,295.00
18	$ 900.00	$ 1,440.00	$ 3,074.00	$ 540.00	$ 762.00	$ 243.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	18	$ 5,840.00	$ 6,355.00
19	$ 950.00	$ 1,520.00	$ 3,074.00	$ 570.00	$ 705.00	$ 250.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	19	$ 5,870.00	$ 6,415.00
20	$ 1,000.00	$ 1,600.00	$ 3,074.00	$ 600.00	$ 655.00	$ 250.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	20	$ 5,900.00	$ 6,475.00
21	$ 1,050.00	$ 1,680.00	$ 3,074.00	$ 630.00	$ 605.00	$ 250.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	21	$ 5,930.00	$ 6,535.00

Non-Residents
Fall 2022 (202310)

Current Tuition and Fees

Num. of Hrs.	Tx Res	Non-Res Statutory	Designated Tuition	Discretionary Graduate Rate	Univ Svs Fee	Stud. Svc.	Env Svc Advising	Fee Cntr.	Int'l Ed. Fee	Reg Records	Rec Sports Fee	Diff Tui UG	Diff Tui GR	Num. of Hrs.	Total - Non-Res	
Note: Non-Resident Students will be charged an additional $33 per credit hour for each on-line course up to $396												*UG*	*GR*		**UG**	**GR**
1	$ 50.00	$ 458.00	$ 204.00	$ 30.00	$ 83.00	$ 13.50	$ 5.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	100.00	75.00	1	$ 969.50	$ 974.50
2	$ 100.00	$ 916.00	$ 408.00	$ 60.00	$ 166.00	$ 27.00	$ 5.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	100.00	75.00	2	$ 1,728.00	$ 1,763.00
3	$ 150.00	$ 1,374.00	$ 762.00	$ 90.00	$ 249.00	$ 40.50	$ 5.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	100.00	75.00	3	$ 2,636.50	$ 2,701.50
4	$ 200.00	$ 1,832.00	$ 614.50	$ 120.00	$ 332.00	$ 54.00	$ 5.00	$ 36.00	$ 3.00	$ 8.00	$ 60.00	100.00	75.00	4	$ 3,044.50	$ 3,139.50
5	$ 250.00	$ 2,290.00	$ 459.00	$ 150.00	$ 415.00	$ 67.50	$ 5.00	$ 45.00	$ 3.00	$ 8.00	$ 60.00	100.00	75.00	5	$ 3,452.50	$ 3,577.50
6	$ 300.00	$ 2,748.00	$ 1,524.00	$ 180.00	$ 498.00	$ 81.00	$ 5.00	$ 54.00	$ 3.00	$ 8.00	$ 60.00	100.00	75.00	6	$ 5,081.00	$ 5,236.00
7	$ 350.00	$ 3,206.00	$ 1,308.50	$ 210.00	$ 581.00	$ 94.50	$ 5.00	$ 63.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	7	$ 5,489.00	$ 5,674.00
8	$ 400.00	$ 3,664.00	$ 1,153.00	$ 240.00	$ 664.00	$ 108.00	$ 5.00	$ 72.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	8	$ 5,897.00	$ 6,112.00
9	$ 450.00	$ 4,122.00	$ 1,836.00	$ 270.00	$ 747.00	$ 121.50	$ 5.00	$ 81.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	9	$ 7,143.50	$ 7,388.50
10	$ 500.00	$ 4,580.00	$ 2,040.00	$ 300.00	$ 830.00	$ 135.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	10	$ 7,906.00	$ 8,181.00
11	$ 550.00	$ 5,038.00	$ 2,244.00	$ 330.00	$ 913.00	$ 148.50	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	11	$ 8,664.50	$ 8,969.50
12	$ 600.00	$ 5,496.00	$ 3,221.00	$ 360.00	$ 996.00	$ 162.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	12	$ 10,196.00	$ 10,531.00
13	$ 650.00	$ 5,954.00	$ 3,074.50	$ 390.00	$ 1,079.00	$ 175.50	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	13	$ 10,604.00	$ 10,969.00
14	$ 700.00	$ 6,412.00	$ 3,074.00	$ 420.00	$ 1,016.00	$ 189.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	14	$ 11,012.00	$ 11,407.00
15	$ 750.00	$ 6,870.00	$ 3,074.00	$ 450.00	$ 952.50	$ 202.50	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	15	$ 11,420.00	$ 11,845.00
16	$ 800.00	$ 7,328.00	$ 3,074.00	$ 480.00	$ 889.00	$ 216.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	16	$ 11,828.00	$ 12,283.00
17	$ 850.00	$ 7,786.00	$ 3,074.00	$ 510.00	$ 825.50	$ 229.50	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	17	$ 12,236.00	$ 12,721.00
18	$ 900.00	$ 8,244.00	$ 3,074.00	$ 540.00	$ 762.00	$ 243.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	18	$ 12,644.00	$ 13,159.00
19	$ 950.00	$ 8,702.00	$ 3,074.00	$ 570.00	$ 705.00	$ 250.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	19	$ 13,052.00	$ 13,597.00
20	$ 1,000.00	$ 9,160.00	$ 3,074.00	$ 600.00	$ 655.00	$ 250.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	20	$ 13,460.00	$ 14,035.00
21	$ 1,050.00	$ 9,618.00	$ 3,074.00	$ 630.00	$ 605.00	$ 250.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	21	$ 13,868.00	$ 14,473.00

Texas Residents UG GPP FY 2021-2023
GUARANTEED PRICE PLAN

Num. of Hrs.	Tx Res	Designated Tuition	Univ Svc Fee	Stud. Svc.	Stud. Cntr.	Int'l Ed. Fee	Reg Records	Rec Sports Fee	Env Svc Fee	Diff Tui	Num. of Hrs.	Total Tx Res
												Undergrad
1	$ 50.00	$ 255.00	$ 83.00	$ 13.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	1	$ 612.50
2	$ 100.00	$ 510.00	$ 166.00	$ 27.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	2	$ 1,014.00
3	$ 150.00	$ 765.00	$ 249.00	$ 40.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	3	$ 1,415.50
4	$ 200.00	$ 1,020.00	$ 332.00	$ 54.00	$ 36.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	4	$ 1,818.00
5	$ 250.00	$ 1,275.00	$ 415.00	$ 67.50	$ 45.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	5	$ 2,228.50
6	$ 300.00	$ 1,530.00	$ 498.00	$ 81.00	$ 54.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	6	$ 2,639.00
7	$ 350.00	$ 1,785.00	$ 581.00	$ 94.50	$ 63.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	7	$ 3,109.50
8	$ 400.00	$ 2,040.00	$ 664.00	$ 108.00	$ 72.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	8	$ 3,520.00
9	$ 450.00	$ 2,295.00	$ 747.00	$ 121.50	$ 81.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	9	$ 3,930.50
10	$ 500.00	$ 2,550.00	$ 830.00	$ 135.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	10	$ 4,336.00
11	$ 550.00	$ 2,805.00	$ 913.00	$ 148.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	11	$ 4,737.50
12	$ 600.00	$ 3,596.00	$ 996.00	$ 162.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	12	$ 5,675.00
13	$ 650.00	$ 3,449.50	$ 1,079.00	$ 175.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	13	$ 5,675.00
14	$ 700.00	$ 3,449.00	$ 1,016.00	$ 189.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	14	$ 5,675.00
15	$ 750.00	$ 3,449.00	$ 952.50	$ 202.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	15	$ 5,675.00
16	$ 800.00	$ 3,449.00	$ 889.00	$ 216.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	16	$ 5,675.00
17	$ 850.00	$ 3,449.00	$ 825.50	$ 229.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	17	$ 5,675.00
18	$ 900.00	$ 3,449.00	$ 762.00	$ 243.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	18	$ 5,675.00
19	$ 950.00	$ 3,449.00	$ 705.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	19	$ 5,675.00
20	$ 1,000.00	$ 3,449.00	$ 655.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	20	$ 5,675.00
21	$ 1,050.00	$ 3,449.00	$ 605.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	21	$ 5,675.00

IMPORTANT:
GPP Students taking some or all on-line courses will be charged $33 per credit hour for Distance Learning Fee but Designated Tuition will be reduced by that same amount - STUDENTS TOTAL CHARGE WILL NOT CHANGE

201910, 201920, 201930 FRTP (202310)
Texas Residents UG FRTP

Current Tuition and Fees

Num. of Hrs.	Tx Res	Designated Tuition	Univ Svc Fee	Stud. Svc.	Stud. Cntr.	Int'l Ed. Fee	Reg Records	Rec Sports Fee	Env Svc Fee	Diff Tui	Num. of Hrs.	Total Tx Res
Note: FRTP Students will be charged an additional $33 per credit hour for each on-line course										UG		Undergrad
1	$ 50.00	$ 226.00	$ 83.00	$ 13.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	1	$ **583.50**
2	$ 100.00	$ 452.00	$ 166.00	$ 27.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	2	$ **956.00**
3	$ 150.00	$ 678.00	$ 249.00	$ 40.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	3	$ **1,328.50**
4	$ 200.00	$ 904.00	$ 332.00	$ 54.00	$ 36.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	4	$ **1,702.00**
5	$ 250.00	$ 1,130.00	$ 415.00	$ 67.50	$ 45.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	5	$ **2,083.50**
6	$ 300.00	$ 1,356.00	$ 498.00	$ 81.00	$ 54.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	6	$ **2,465.00**
7	$ 350.00	$ 1,582.00	$ 581.00	$ 94.50	$ 63.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	7	$ **2,906.50**
8	$ 400.00	$ 1,808.00	$ 664.00	$ 108.00	$ 72.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	8	$ **3,288.00**
9	$ 450.00	$ 2,034.00	$ 747.00	$ 121.50	$ 81.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	9	$ **3,669.50**
10	$ 500.00	$ 2,260.00	$ 830.00	$ 135.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	10	$ **4,046.00**
11	$ 550.00	$ 2,486.00	$ 913.00	$ 148.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	11	$ **4,418.50**
12	$ 600.00	$ 2,712.00	$ 996.00	$ 162.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	12	$ **4,791.00**
13	$ 650.00	$ 2,938.00	$ 1,079.00	$ 175.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	13	$ **5,163.50**
14	$ 700.00	$ 3,164.00	$ 1,016.00	$ 189.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	14	$ **5,390.00**
15	$ 750.00	$ 3,390.00	$ 952.50	$ 202.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	15	$ **5,616.00**
16	$ 800.00	$ 3,616.00	$ 889.00	$ 216.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	16	$ **5,842.00**
17	$ 850.00	$ 3,616.00	$ 825.50	$ 229.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	17	$ **5,842.00**
18	$ 900.00	$ 3,616.00	$ 762.00	$ 243.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	18	$ **5,842.00**
19	$ 950.00	$ 3,616.00	$ 705.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	19	$ **5,842.00**
20	$ 1,000.00	$ 3,616.00	$ 655.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	20	$ **5,842.00**
21	$ 1,050.00	$ 3,616.00	$ 605.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	21	$ **5,842.00**

202010, 202020, 202030 FRTP (202310)
Texas Residents UG FRTP

Num. of Hrs.	Tx Res	Designated Tuition	Univ Svc Fee	Stud. Svc.	Stud. Cntr.	Int'l Ed. Fee	Reg Records	Rec Sports Fee	Env Svc Fee	Diff Tui	Num. of Hrs.	Total Tx Res
Note: FRTP Students will be charged an additional $33 per credit hour for each on-line course										UG		Undergrad
1	$ 50.00	$ 233.00	$ 83.00	$ 13.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	1	$ **590.50**
2	$ 100.00	$ 466.00	$ 166.00	$ 27.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	2	$ **970.00**
3	$ 150.00	$ 699.00	$ 249.00	$ 40.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	3	$ **1,349.50**
4	$ 200.00	$ 932.00	$ 332.00	$ 54.00	$ 36.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	4	$ **1,730.00**
5	$ 250.00	$ 1,165.00	$ 415.00	$ 67.50	$ 45.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	5	$ **2,118.50**
6	$ 300.00	$ 1,398.00	$ 498.00	$ 81.00	$ 54.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	6	$ **2,507.00**
7	$ 350.00	$ 1,631.00	$ 581.00	$ 94.50	$ 63.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	7	$ **2,955.50**
8	$ 400.00	$ 1,864.00	$ 664.00	$ 108.00	$ 72.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	8	$ **3,344.00**
9	$ 450.00	$ 2,097.00	$ 747.00	$ 121.50	$ 81.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	9	$ **3,732.50**
10	$ 500.00	$ 2,330.00	$ 830.00	$ 135.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	10	$ **4,116.00**
11	$ 550.00	$ 2,563.00	$ 913.00	$ 148.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	11	$ **4,495.50**
12	$ 600.00	$ 2,796.00	$ 996.00	$ 162.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	12	$ **4,875.00**
13	$ 650.00	$ 3,029.00	$ 1,079.00	$ 175.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	13	$ **5,254.50**
14	$ 700.00	$ 3,262.00	$ 1,016.00	$ 189.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	14	$ **5,488.00**
15	$ 750.00	$ 3,495.00	$ 952.50	$ 202.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	15	$ **5,721.00**
16	$ 800.00	$ 3,728.00	$ 889.00	$ 216.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	16	$ **5,954.00**
17	$ 850.00	$ 3,728.00	$ 825.50	$ 229.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	17	$ **5,954.00**
18	$ 900.00	$ 3,728.00	$ 762.00	$ 243.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	18	$ **5,954.00**
19	$ 950.00	$ 3,728.00	$ 705.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	19	$ **5,954.00**
20	$ 1,000.00	$ 3,728.00	$ 655.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	20	$ **5,954.00**
21	$ 1,050.00	$ 3,728.00	$ 605.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	21	$ **5,954.00**

ROTC (MILS) Military Science Course(s) Rate for FY 22-23					
Hour		**Statutory**		**Designated**	**Total**
1		50.00		207.00	**257.00**
2		100.00		414.00	**514.00**
3		150.00		621.00	**771.00**
4		200.00		828.00	**1,028.00**
5		250.00		1,035.00	**1,285.00**
6		300.00		1,242.00	**1,542.00**
7		350.00		1,449.00	**1,799.00**
8		400.00		1,656.00	**2,056.00**
9		450.00		1,863.00	**2,313.00**
10		500.00		2,070.00	**2,570.00**

Dual Credit Rate for FY 22-23

Hour	Statutory	Univ Svc Fee	Total
1	50.00	36.00	**86.00**
2	100.00	72.00	**172.00**
3	150.00	108.00	**258.00**
4	200.00	144.00	**344.00**
5	250.00	180.00	**430.00**
6	300.00	216.00	**516.00**
7	350.00	252.00	**602.00**
8	400.00	288.00	**688.00**
9	450.00	324.00	**774.00**
10	500.00	360.00	**860.00**

Current Tuition and Fees

Out of State Fully On-Line Grad student (Non-Resident Electronic Fee)

HOURS	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Diff Tuition - GR	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00
NR - OUT of State Electronic	120.00	240.00	360.00	480.00	600.00	720.00	840.00	960.00	1,080.00	1,200.00	1,320.00	1,440.00	1,560.00	1,680.00	1,800.00	1,920.00	2,040.00	2,160.00	2,280.00	2,400.00
Statutory Tuition - R	50.00	100.00	150.00	200.00	250.00	300.00	350.00	400.00	450.00	500.00	550.00	600.00	650.00	700.00	750.00	800.00	850.00	900.00	950.00	1,000.00
Designated Tuition	204.00	408.00	762.00	614.50	459.00	1,524.00	1,308.50	1,153.00	1,836.00	2,040.00	2,244.00	3,221.00	3,074.50	3,074.00	3,074.00	3,074.00	3,074.00	3,074.00	3,074.00	3,074.00
Univ Services Fee	83.00	166.00	249.00	332.00	415.00	498.00	581.00	664.00	747.00	830.00	913.00	996.00	1,079.00	1,016.00	952.50	889.00	825.50	762.00	705.00	655.00
Registration Fee	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00
Rec Sports Fee	60.00	60.00	60.00	60.00	60.00	60.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00
International Edu Fee	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00
Student Center Fee	35.00	35.00	35.00	36.00	45.00	54.00	63.00	72.00	81.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00
Student Service Fee	13.50	27.00	40.50	54.00	67.50	81.00	94.50	108.00	121.50	135.00	148.50	162.00	175.50	189.00	202.50	216.00	229.50	243.00	250.00	250.00
Env Services Fee	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
Distance Education Fee	33.00	66.00	99.00	132.00	165.00	198.00	231.00	264.00	297.00	330.00	363.00	396.00	396.00	396.00	396.00	396.00	396.00	396.00	396.00	396.00
Graduate Tuition	30.00	60.00	90.00	120.00	150.00	180.00	210.00	240.00	270.00	300.00	330.00	360.00	390.00	420.00	450.00	480.00	510.00	540.00	570.00	600.00
TOTAL	**719.50**	**1,253.00**	**1,936.50**	**2,119.50**	**2,302.50**	**3,706.00**	**3,889.00**	**4,072.00**	**5,093.50**	**5,631.00**	**6,164.50**	**7,471.00**	**7,621.00**	**7,771.00**	**7,921.00**	**8,071.00**	**8,221.00**	**8,371.00**	**8,521.00**	**8,671.00**

Out of State Fully On-Line UG student (Non-Resident Electronic Fee)

HOURS	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Diff Tuition - UG	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00
NR - OUT of State Electronic	120.00	240.00	360.00	480.00	600.00	720.00	840.00	960.00	1,080.00	1,200.00	1,320.00	1,440.00	1,560.00	1,680.00	1,800.00	1,920.00	2,040.00	2,160.00	2,280.00	2,400.00
Statutory Tuition - R-UG	50.00	100.00	150.00	200.00	250.00	300.00	350.00	400.00	450.00	500.00	550.00	600.00	650.00	700.00	750.00	800.00	850.00	900.00	950.00	1,000.00
Designated Tuition -R-UG	204.00	408.00	762.00	614.50	459.00	1,524.00	1,308.50	1,153.00	1,836.00	2,040.00	2,244.00	3,221.00	3,074.50	3,074.00	3,074.00	3,074.00	3,074.00	3,074.00	3,074.00	3,074.00
Univ Services Fee	83.00	166.00	249.00	332.00	415.00	498.00	581.00	664.00	747.00	830.00	913.00	996.00	1,079.00	1,016.00	952.50	889.00	825.50	762.00	705.00	655.00
Registration Fee	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00
Rec Sports Fee	60.00	60.00	60.00	60.00	60.00	60.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00
International Edu Fee	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00
Student Center Fee	35.00	35.00	35.00	36.00	45.00	54.00	63.00	72.00	81.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00
Student Service Fee	13.50	27.00	40.50	54.00	67.50	81.00	94.50	108.00	121.50	135.00	148.50	162.00	175.50	189.00	202.50	216.00	229.50	243.00	250.00	250.00
Env Services Fee	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
Distance Education Fee	33.00	66.00	99.00	132.00	165.00	198.00	231.00	264.00	297.00	330.00	363.00	396.00	396.00	396.00	396.00	396.00	396.00	396.00	396.00	396.00
TOTAL	**714.50**	**1,218.00**	**1,871.50**	**2,024.50**	**2,177.50**	**3,551.00**	**3,704.00**	**3,857.00**	**4,848.50**	**5,356.00**	**5,859.50**	**7,136.00**	**7,256.00**	**7,376.00**	**7,496.00**	**7,616.00**	**7,736.00**	**7,856.00**	**7,976.00**	**8,096.00**

RELLIS RATES - Resident

Hours	F60R	T00R	T05R	TDR1	Total
	96.50	50.00	168.50	100.00	415.00
1	96.50	50.00	168.50	100.00	415.00
2	193.00	100.00	337.00	100.00	730.00
3	289.50	150.00	505.50	100.00	1,045.00
4	386.00	200.00	674.00	100.00	1,360.00
5	482.50	250.00	842.50	100.00	1,675.00
6	579.00	300.00	1,011.00	100.00	1,990.00
7	675.50	350.00	1,179.50	100.00	2,305.00
8	772.00	400.00	1,348.00	100.00	2,620.00
9	868.50	450.00	1,516.50	100.00	2,935.00
10	965.00	500.00	1,685.00	100.00	3,250.00
11	1,061.50	550.00	1,853.50	100.00	3,565.00
12	1,158.00	600.00	2,022.00	100.00	3,880.00
13	1,254.50	650.00	2,190.50	100.00	4,195.00
14	1,351.00	700.00	2,359.00	100.00	4,510.00
15	1,447.50	750.00	2,527.50	100.00	4,825.00
16	1,544.00	800.00	2,696.00	100.00	5,140.00
17	1,640.50	850.00	2,864.50	100.00	5,455.00
18	1,737.00	900.00	3,033.00	100.00	5,770.00
19	1,833.50	950.00	3,201.50	100.00	6,085.00
20	1,930.00	1,000.00	3,370.00	100.00	6,400.00
21	2,026.50	1,050.00	3,538.50	100.00	6,715.00

RELLIS RATES - NonResident

Hours	F60R	T01R	T06R	TDR1	Total
	96.50	458.00	183.00	100.00	837.50
1	96.50	458.00	183.00	100.00	837.50
2	193.00	916.00	366.00	100.00	1,575.00
3	289.50	1,374.00	549.00	100.00	2,312.50
4	386.00	1,832.00	732.00	100.00	3,050.00
5	482.50	2,290.00	915.00	100.00	3,787.50
6	579.00	2,748.00	1,098.00	100.00	4,525.00
7	675.50	3,206.00	1,281.00	100.00	5,262.50
8	772.00	3,664.00	1,464.00	100.00	6,000.00
9	868.50	4,122.00	1,647.00	100.00	6,737.50
10	965.00	4,580.00	1,830.00	100.00	7,475.00
11	1,061.50	5,038.00	2,013.00	100.00	8,212.50
12	1,158.00	5,496.00	2,196.00	100.00	8,950.00
13	1,254.50	5,954.00	2,379.00	100.00	9,687.50
14	1,351.00	6,412.00	2,562.00	100.00	10,425.00
15	1,447.50	6,870.00	2,745.00	100.00	11,162.50
16	1,544.00	7,328.00	2,928.00	100.00	11,900.00
17	1,640.50	7,786.00	3,111.00	100.00	12,637.50
18	1,737.00	8,244.00	3,294.00	100.00	13,375.00
19	1,833.50	8,702.00	3,477.00	100.00	14,112.50
20	1,930.00	9,160.00	3,660.00	100.00	14,850.00
21	2,026.50	9,618.00	3,843.00	100.00	15,587.50

RN to BSN				
Hours	F60N	T30N	T31N	Total
1	83.00	50.00	134.74	267.74
2	166.00	100.00	269.48	535.48
3	249.00	150.00	404.22	803.22
4	332.00	200.00	538.96	1,070.96
5	415.00	250.00	673.70	1,338.70
6	498.00	300.00	808.44	1,606.44
7	581.00	350.00	943.18	1,874.18
8	664.00	400.00	1,077.92	2,141.92
9	747.00	450.00	1,212.66	2,409.66
10	830.00	500.00	1,347.40	2,677.40
11	913.00	550.00	1,482.14	2,945.14
12	996.00	600.00	1,616.88	3,212.88
13	1,079.00	650.00	1,751.62	3,480.62
14	1,162.00	700.00	1,886.36	3,748.36
15	1,245.00	750.00	2,021.10	4,016.10
16	1,328.00	800.00	2,155.84	4,283.84
17	1,411.00	850.00	2,290.58	4,551.58
18	1,494.00	900.00	2,425.32	4,819.32
19	1,577.00	950.00	2,560.06	5,087.06
20	1,660.00	1,000.00	2,694.80	5,354.80
21	1,743.00	1,050.00	2,829.54	5,622.54

2021 Texas Public Higher Education Almanac Data - Average Tuition and Fees by University

4-year public institution	Website	Accountability group	HS/HBCU status*	Average tuition & fees
The University of Texas at Dallas	www.ut	Emerging Research		$14,072
Texas A&M University at Galveston	www.ta	Master's		$12,192
University of North Texas	www.ur	Emerging Research	HS	$11,994
The University of Texas at Arlington	www.ut	Emerging Research	HS	$11,620
Texas Tech University	www.tt	Emerging Research	HS	$11,600
University of Houston	www.uh	Emerging Research	HS	$11,569
Texas State University	www.tx	Emerging Research	HS	$11,540
Texas A&M University	www.ta	Research		$11,404
Prairie View A&M University	www.pv	Comprehensive	HBCU	$11,099
Sam Houston State University	www.sh	Doctoral	HS	$10,756
Stephen F. Austin State University	www.sf	Comprehensive		$10,600
The University of Texas at San Antonio	www.ut	Emerging Research	HS	$10,600
The University of Texas at Austin	www.ut	Research		$10,582
Lamar University	www.la	Comprehensive		$10,463
Texas A&M University–Corpus Christi	www.ta	Doctoral	HS	$9,825
Texas A&M University–Commerce	www.ta	Doctoral		$9,820
Midwestern State University	www.m	Master's		$9,796
Texas A&M University–Kingsville	www.ta	Doctoral	HS	$9,694
Texas Woman's University	www.tw	Doctoral	HS	$9,630
Texas Southern University	www.ts	Doctoral	HBCU	$9,570
Tarleton State University	www.ta	Comprehensive		$9,529
Texas A&M International University	www.ta	Comprehensive	HS	$9,254
University of Houston–Clear Lake	www.uh	Master's	HS	$9,174
The University of Texas at Tyler	www.ut	Master's		$9,146
University of North Texas at Dallas	www.ur	Master's	HS	$9,140
West Texas A&M University	www.w	Comprehensive	HS	$9,040
Angelo State University	www.ar	Master's	HS	$9,010
The University of Texas Rio Grande Valley	www.ut	Doctoral	HS	$8,917
The University of Texas Permian Basin	www.ut	Master's	HS	$8,806
Sul Ross State University	www.su	Master's	HS	$8,776
The University of Texas at El Paso	www.ut	Emerging Research	HS	$8,652
University of Houston–Downtown	www.uh	Master's	HS	$8,604
University of Houston–Victoria	www.uh	Master's	HS	$8,544
Texas A&M University–Texarkana	www.ta	Master's		$8,449
Texas A&M University–San Antonio	www.ta	Master's	HS	$8,442
Texas A&M University–Central Texas	www.ta	Master's	HS	$6,483
Sul Ross State University Rio Grande College	www.su	Master's	HS	$5,833
Statewide				$9,844

* "HS" = Hispanic Serving. HS is defined as institutions with a fall headcount of 25% or more students who are Hispanic.

Fee Type	Statutory Authority	T/F Description	Last Approved by Board	Board Order	Current Rate
Additional Fees	TEC 54.5011	Convenience Fee (For use of Credit Card)	4/19/2011	11-21	2.75% min $3
Additional Fees	TEC 54.504	Distance Learning Fee	4/15/2014	14-22	$33/SCH - Beg 2020, this is reduced from Designated Tuition
Additional Fees	TEC 54.502	General Deposit	Pre-2000	Pre-2000	$100 refundable upon withdrawl or graduation
Additional Fees	TEC 54.503	Individual Instruction Fee	10/28/1986	86-148	Varies by course
Additional Fees	TEC 54.007	Installment Payment Plan Fee	7/20/2010	10-40	$25
Additional Fees	TEC 54.504	Late Add Fee	4/16/2002	02-05	$50 per SCH
Additional Fees	TEC 54.007	Late Installment Fee (renamed Late Payment Fee at July 2022 BOR meeting	7/28/2015	15-42	$25
Additional Fees	TEC 54.504	Late Registration Fee	4/19/2011	11-21	$25
Additional Fees	TEC 54.545	Out-of-State Electronic Fee	10/14/2004	05-05	Reduced tuition fee designed to make SFA's distance ed programs more competitive. $120/SCH
Additional Fees	TEC 54.505	Parking Permit	1/27/2021	21-84	Varies by type of permit
Additional Fees	TEC 54.504	Post Office Box Rental	Pre-2000	Pre-2000	$10/semester
Additional Fees	TEC 54.504	Reinstatement Fee	4/30/2001	01-67	$50 per SCH
Additional Fees	TEC 54.504	Returned Check Fee	7/8/2004	04-58	$30 per item
Additional Fees	TEC 54.504	Student Identification Card	3/20/2018	No Board Order	$6 initial ID; $15 replacement ID
Other Mandatory T/F	TEC 54.014	Excessive Undergraduate Credit Hours	1/31/2017	17-23	$200 per SCH
Other Mandatory T/F	TEC 54.014	3-Peat Tuition	1/31/2017	17-23	$200 per SCH

Exemptions & Waivers

Man/Opt	TEC, Sectin 54.2001	CITATION	TYPE	NAME	Status	Overview of What is Paid OR Exempted	Overview of Eligibility
M	Impacted	TEC 54.351	Exemption	Children of Disabled Firefighters/Law Enforcement Officers (Previously called Orphans of Public Employment)	Active	Tuition and fees (120 attempted hours or until student's 26th birthday)	Letter/certificate from the Coordinatinginating board as evidence to grant the exemption. Children only not spouse TEC 54.351 - maintain GPA, excessive hour limit. Children of eligible persons who have been killed in the line of duty prior to September 1, 2000, or who have been disabled in the line of duty. Apply
M	Impacted	TEC 54.355	Exemption	Children of Nurse Faculty	Active	Tuition and designated tuition - 10 semesters only	Must be 25 years or younger, Texas resident, does not already has degree, enroll at same college the parent is currently employed, letter form HR stating parent is full time employee, register for selective service or be exempt from requirement, parent must have mater's or doctoral and be employed fulltime. student shall maintain GPA, meet excessive hour rule.
M	Impacted	TEC 54.343	Exemption	Children of POWs & MIAs	Not Active	Tuition and fees	Children of POW's
M	Excluded	TEC 54.011	Exemption	Concurrent Enrollment	Not Active	Tuition and fees; less course fees, distance learning and dual credit tuition. This difference between school A and school B	enrolled in classes for which the college receives tax support, meets college's regular requirements, Apply at SFA Admissions office 468-2504. Enrolled at more than one Higher Ed school at the same time
M	Impacted	TEC.54.354	Exemption	Dependents of Deceased Public Servants	Active	Tuition, mandatory fees and textbooks. (200 hours or until bachelors degree) If the student is eligible to live in university housing, the university will also provide the student room and	Full time student, Student must be under 18 year of age at time of parent' s death. Certification from employer stating death in the line of duty and copy of death certificate. The public employee must have died in the performance of his/her duty on or after September 1, 2000 and student is a surviving spouse or
M	Impacted	TEC.54.352	Exemption	Disabled Peace Officers and Firefighters	Not Active	Tuition and required fees	If spaces is available, must be residents of Texas, permanently disabled as a result of injury suffered during performance of duty, no more than 12 semesters in unger grad work - Masters and Doctoral are not eligible.
M	Exempt	TEC.54.342	Exemption	Ex-Prisoners of War	Not Active	"tuition and required fees" includes tuition, service fees, lab fees, building use fees, and all other required fees except room, board, or clothing fees or deposits in the nature of security for the	"tuition and required fees" includes tuition, service fees, lab fees, building use fees, and all other required fees except room, board, or clothing fees or deposits in the nature of security for the return or proper care of property.(b) For each semester or summer session and for a total number of semester credit hours
M	Exempt	TEC 54.366	Exemption	Foster Care Aged Out Exemption	Active	Tuition and fees	Tuition Waiver from Texas Dept. of Family and Protective Services. Were NOT adopted before their 18th birthday
M	Exempt	TEC 54.367	Exemption	Foster Care (Adopted)	Active	Tuition and fees	Tuition Waiver Letter from Texas Dept. of family and protective services. Must maintain GPA and meet excessive hour requirements Adopted before they turned 18
M	Exempt	TEC 54.341 (a-2),(b)(1)	Exemption	Hazlewood - 100% Disabled Veteran-Spouse/Child	Active	Tuition and fees; less student service fee	Veteran must have a Home of Record or Place of Entry in TX, be honorably discharged and 100% disabled due to military conditions. Must be a biological child, adopted child, claimed as a dependent on taxes or be the veterans spouse, a TX resident and not be in excessive hours.

Exemptions & Waivers

Man/Opt	TEC, Sectin 54.2001	CITATION	TYPE	NAME	Status	Overview of What is Paid OR Exempted	Overview of Eligibility
M	Exempt	TEC 54.341 (a-2),(b)(1)	Exemption	Hazlewood - Deceased Veteran-Spouse/Child	Active	Tuition and fees; less student service fee	Veteran must have a Home of Record or Place of Entry in TX, be honorably discharged and deceased due to military conditions. Must be a biological child, adopted child, claimed as a dependent on taxes or be the veterans spouse, a TX resident and not be in excessive hours.
M	Impacted	TEC 54.341,(k)	Exemption	Hazlewood Dependents Legacy	Active	Tuition and fees; less student service fee	Veteran must have a Home of Record or Place of Entry in TX, served at least 181 active duty days, be honorably discharged, and be a TX resident. Must be a biological child, adopted child, or claimed as a dependent on taxes, a TX resident and not be in excessive hours and must have passing GPA.
M	Exempt	TEC 54.341, (a)	Exemption	Hazlewood Veteran	Active	Tuition and fess, less student service fee	Veteran must have a Home of Record or Place of Entry in TX, served at least 181 active duty days, be honorably discharged, and a TX resident, not be in excessive hours and must have passing GPA.
M	Impacted	TEC 54.364	Exemption	Hearing Impaired	Active	Tuition and fees	Must turn in a copy of Certified Disability. Must maintain GPA and meet excessive hour requirements
M	Impacted	TEC.54.345	Exemption	National Guard Waiver (Members of state Military Forces)	Not Active	Tuition up to 12 hours	Military shall certify (never been used)
M	Impacted	TEC 54.3531	Exemption	Peace Officers	Active	Tuition and Lab Fees	Courses for BA Degree only. Employed as a Peace Officer by the state of Texas. Undergraduate student. Enroll Fall 2011 or later. Meet GA requirements. Must apply for exemption at least 1 week before the last day to register. Must meet the excessive hour rule.
M	Impacted	TEC.54.344	Exemption	Performers of "Taps"	Not Active	$25 Exemption	Voucher from Student
M	Impacted	TEC 54.356	Exemption	Preceptor and their Children	Active	$500.00 tuition exemption per semester for 8 hours	Preceptor or Children of Preceptor 25 and under: Resident of Texas, Not have a degree. Meet GPA and excessive hour rule. Copy of parents preceptor agreement. See Business Office for more information on eligibility requirements.
M	Excluded	TEC 54.624	Exemption	Texas Tomorrow Fund Exemption	Active	Tuition and required fees in excess of the weighted average amount of tuition and required fees for all public senior colleges and universities	Student must contact provider to authorize SFA to bill/use their funds and turn in a copy of the card
M	Impacted	TEC 54.364	Exemption	Vision Impaired	Active	Tuition and fees	Must turn in a copy of Certified Disability. Must maintain GPA and meet excessive hour requirements
M	Exempt	TEC 54.233	Waiver	Academic Common Market	Not Active	In State Rate	The governing board of an institutin of higher education shall charge nonresident students participating in the Academic Common Market and enrolled in programs designated under Section 160.07 the same amount charged resident students in such programs.
M	Exempt	TEC 231(g)	Waiver	Border County/Parish	Not Active	In State Rate with governing board approval	With governing board approval, the nonresident tuition fee does not apply to a nonresident student who is a resident of a county or parish of Arkansas, Lousiana, New Mexico, or Oklahoma.

Exemptions & Waivers

Man/Opt	TEC, Sectin 54.2001	CITATION	TYPE	NAME	Status	Overview of What is Paid OR Exempted	Overview of Eligibility
M	Exempt	TEC 54.211	Waiver	College Teachers, Professors (and the spouse and children of such a teacher or professor)	Active	In State Rate	Employed at least hone-half time on a regular monthly salary basis by an institution of higher education.
M	Exempt	TEC.54.222	Waiver	Economic Developments	Not Active	Economic Rules for residency	Meet Economic Rules for residency
M	Exempt	TEC.54.206	Waiver	Foreign Service Officers	Not Active	In State Rate	A foreign service officer employed by the United States Department of State and enrolled in an institution of higher education is entitled to pay the tuition and fees at the rates provided for Texas residents if the person is assigned to an office of the department of state that is located in a foreign
M	Exempt	TEC.54.241,(b,c,f,g) (d,I,k)	Waiver	Military in Texas	Active	In State Rate	A person who is an officer, enlisted person, selectee, or draftee of the Army, Army Reserve, Army National Guard, Air National Guard, Air Force, Air Force Reserve, Navy, Navy Reserve, Marine Corps, Marine Corps Reserve, Coast Guard, or Coast Guard Reserve of the United States, who is assigned to duty in Texas,
M	Exempt	TEC.54.232	Waiver	NATO Members and Families	Not Active	In state Rate	A nonimmigrant alien who resides in this state in accordance with the Agreement between the Parties to the North Atlantic Treaty Regarding the Status of Their Forces (4 U.S.T. 1792) and the spouse or children of that alien are considered to be residents for tuition and fee purposes under this title.
M	Exempt	TEC.54.212	Waiver	Teaching and Research Assistants	Active	In state Rate	Teaching assistant or research assistant
M	Excluded	TEC 54.621	Waiver	Texas Tomorrow Fund Contract	Active	In state Rate for nonresident child of a parent who is a Texas resident when contract was purchased	Student must contact provider to authorize SFA to bill/use their funds and turn in a copy of the card
M	Impacted	TEC 54.353	Exemption	FireFighters taking Fire Science Courses	Active	Tuition and Lab Fees	Must be employed as a paid Firefighter and provide letter from supervisor, courses must be Fire Science Curriculum, college must receive tax support on the class, maintain GPA, excessive hour limit.
O	Exempt	TEC.54.216 B.O 21-35	Exemption	Dual Credit	Active	Per BO 21-35, Dual Credit Tuition and Fees are exempted except for $50 per semester credit hour for statutory tuition and $36 per semester credit hour for university services fee.	May waive all or part of the tuition and fees charged by the institution for a student enrolled in a course for which the student simultaneously receives credit toward high school requirements and a degree offered by the institution
O	Impacted	TEC.54.331	Exemption	Good Neighbor Program	Active	Tuition and Fees	Up to 235 non-residents from an eligible country, born in and are current residents of a nation of Western hemisphere other than Cuba or the US. Intend to return to country upon completion of program of study, are qualified for admission. Must maintain GPA and meet excessive hour rule. Cannot have another Waiver on account.
O	Impacted	TEC.54.301	Exemption	Highest Ranking HS (Valedictorian)	Active	Tuition during both semesters of the first school year immediately following graduation	Certificate from High School

Exemptions & Waivers

Man/Opt	TEC, Sectin 54.2001	CITATION	TYPE	NAME	Status	Overview of What is Paid OR Exempted	Overview of Eligibility
O	Excluded	TEC.54.0601	Exemption	Hundred (100) Mile	Active	Lower nonresident tuition rate.	Institution within 100 miles from the boundary of this state with another state may set a nonresident tuition rate that is lower than the nonresident tuition rate otherwise charged.
O	Impacted	TEC 54.365, (c)	Exemption	Senior Citizen 65+ for 6 hours free tution	Active	Tuition and designated tuition (6 hours)	Must maintain SAP and meet the excessive hour rule. Must be 65 or older. Student should contact the business office.
O	Exempt	TEC.54.213	Waiver	Competitive Scholarship	Active	In state rate	Nonresident students receiving a $1,000.00 or more in competative scholarships
O	Impacted	TEC.54.2031	Exemption	Combat Exemption	Not Active	Tuition is exempted	Dependent children of residents who are members of the Armed Forces and on combat duty - limit of 150 hours, must not be in default on loan and proof of combat duty
O	Impacted	TEC.54.261	Exemption	Designated Tuition Exemption	Not Active	All or part Tuition	A governing board may waive all or part of the tuition charged to a student under Section 54.0513 if it finds that the payment of such tuition would cause an undue economic hardship on the student.
O	Impacted	TEC.54.218	Exemption	Distance Learning Exemption from Fees	Not Active	Exempts Rec Sports Fee and Student Center	Student is enrolled in only Distance Ed Courses, and meets SB1210 requirements. Study Abroad students enrolled in Summer that last longer than four weeks
O	Impacted	TEC 54.363	Exemption	Educational Aide	Not Active	Tuition and fees other than class or laboratory fees.	Must be a resident of this state; be a school employee serving in any capacity; have worded as an educational aide for at least one school year during the five preceding that term or semester;
O	Impacted	TEC.54.217	Exemption	Fully Funded Courses	Not Active	Tuition and Fees	Students attending courses that are fully funded by federal or other sources
O	Excluded	TEC.54.5035,	Exemption	Governing Board Waivers	Not Active	Waive mandatory and discretionary fees	The governing board of an institution of higher education may waive a mandatory or discretionary fee for a student if the board determines that the student is not reasonably able to participate in or use the activity, service, or facility for which the fee is charged. The governing board must ensure that a waiver under this section does not result in the institution's inability to service a debt to which revenue from the fee is obligated or to support an activity, service, or facility for which the fee is charged.
O	Impacted	TEC.54.368	Exemption	Inter-Institutional Academic Programs	Not Active	Tuition and Fees	(1) "Interinstitutional academic program" means a program under which a student may, in accordance with a written agreement between an institution of higher education and one or more other institutions of higher education or private or independent institutions of higher education, take courses at each institution that is a party to the agreement as necessary to fulfill the program's degree or certificate requirements.
O	Impacted	TEC.54.225	Exemption	Non-Semester-Length Developmental Education Courses	Not Active	Tuition	The governing board of an institution of higher education may exempt from the payment of tuition authorized by this chapter a student who is participating in an approved non-semester-length developmental education intervention (including course-based, non-course-based, alternative-entry/exit, and other intensive developmental education activities).
O	Excluded	TEC.54.5025	Exemption	Prorated Fees for Term Length	Not Active	Prorated amount is set by BOR	Based on the length of the semester or term for which a student is enrolled, the governing board of an institution of higher education may prorate the amount of any fee charged to the student under this chapter.
O	Impacted	TEC 54.365,(b)	Exemption	Senior Citizen 65+ for Audit Hours	Not Active	Tuition and fees	If space is available.

Exemptions & Waivers

Man/Opt	TEC, Sectin 54.2001	CITATION	TYPE	NAME	Status	Overview of What is Paid OR Exempted	Overview of Eligibility
O	Impacted	TEC.54.263	Exemption	Senior Citizen Lowered Tuition 55+	Not Active	All or part Tuition and Fee's	(a) An institution of higher education may charge a student 55 years of age or older tuition and fees at rates that are lower than the rates otherwise provided by this chapter, under the condition that a student under 55 years of age will not be precluded from enrolling in a course for credit toward a degree or certificate. The institution may set additional qualifications that a student must meet to qualify for tuition and fees at rates set under this section and may set different rates for different programs, campuses, or courses. The institution may set rates under this section for resident students, nonresident students, or both, and may set different rates for resident students and nonresident students.
O	Impacted	TEC 54.262	Exemption	Student Services Fee	Not Active	Mandatory Fees	The governing board of an institution of higher education may waive all or part of any cumpulsory fee or fees authorized by Section 54.503 in the case of any student for whom the payment of the fee would cause an undue financial hardship, provided the number of the students to whom the waiver is granted for a semester or term does not exceed 10 percent of the institution's total enrollment for that semester or term. The board may limit accordingly the participation of a studet in the activities financed by the fee so waived.
O	Impacted	TEC.54.361	Exemption	TANF Exemption	Not Active	Tuition and Fees	A student is exempt from the payment of tuition and fees authorized by this chapter for the first academic year in which the student enrolls at an institution of higher education if the student:(1) graduated from a public high school in this state;(2) successfully completed the attendance requirements under Section 25.085;(3) during the student's last year of public high school in this state, was a dependent child receiving financial assistance under Chapter 31, Human Resources Code, for not less than six months;(4) is younger than 22 years of age on the date of enrollment;(5) enrolls at the institution as an undergraduate student not later than the second anniversary of the date of graduation from a public high school in this state;(6) has met the entrance examination requirements of the institution before the date of enrollment; and(7) is classified as a resident under Subchapter B.
O	Excluded	TEC.54.014,(f)	Exemption	Three-peat Penalty Hardship	Not Active	Waive 3-Peat Fee	(f) An institution of higher education may charge a resident undergraduate student tuition at a higher rate than the rate charged to other resident undergraduate students, not to exceed the rate charged to nonresident undergraduate students, for any course in which the student enrolls that is the same as or substantively identical to a course for which the student previously completed. The Texas Higher Education Coordinating Board shall adopt a rule that exempts a resident undergraduate student from this subsection if the student enrolls in a course that is the same as or substantially similar to a course that the student previously completed, solely as a result of a hardship or other good cause.

Exemptions & Waivers

Man/Opt	TEC, Sectin 54.2001	CITATION	TYPE	NAME	Status	Overview of What is Paid OR Exempted	Overview of Eligibility
O	Excluded	TEC.54.010	Exemption	Tuition Reduction for 15+ Hours	Not Active	Reduction in Tuition (set by BOR)	(1) offers the tuition reduction to the student as part of an institutional policy adopted by the board to:(A) increase the average semester credit hour course load of students enrolled at the institution; or(B) improve the retention and graduation rate of students enrolled at the institution; and(2) determines that the student is:(A) enrolled in, and making satisfactory progress toward completion of, a degree program offered at the institution; and (B) enrolled in at least 15 semester credit hours at the institution during the semester or term for which the reduction is offered.(b) The governing board may offer a tuition reduction under this section in a fixed dollar amount, a percentage amount, or any other manner that the board considers appropriate.(c) The amount of tuition reduction offered to a student under this section for a semester or term may not exceed the amount of tuition that would have been charged to the student under this chapter for enrollment in three semester credit hours during that semester or term.(d) For a tuition reduction offered to a student under this section, the governing board may prorate the amount of the reduction based on:(1) the number of semester credit hours in which the student is enrolled; or (2) the length of the semester or term for which the student is enrolled. (e) The governing board is not required to offer a tuition reduction under this section to all institutions of higher education under its governance or to all degree programs offered at an institution of higher education under its governance.
O	Exempt	TEC.54.251	Waiver	Nursing Graduate Students Planning to Teach	Not Active	In State Tuition	An institution of higher education may permit a registered nurse authorized to practice professional nursing in Texas to register by paying the tuition fees and other fees or charges required for Texas residents under Section 54.051, without regard to the length of time the registered nurse has resided in Texas, if the registered nurse:(1) is enrolled in a program designed to lead to a master's degree or other higher degree in nursing; and(2) intends to teach in a program in Texas designed to prepare students for licensure as registered nurses.
SFA		B.O. 16-28	Exemption	Educational Leadership	Active	Reduced Rate by waiving all fees and not charging the board designated graduate tuition.	Students enrolled in this program who met all entrance requirements would only be charged statutory tuition, designated tuition and course fees.
SFA		Policy 12.5	Exemption	LEAP - Employees	Active	Designated tuition and mandatory fees are exempted for eligible participants.	Lumberjack Educational Assistance Program
SFA		Policy 12.5	Exemption	LEAP - GRA and GTAs	Not Active	Designated tuition and mandatory fees are exempted for eligible participants.	Will be replaced FY2023 with scholarship program
SFA		Policy 12.5	Exemption	LEAP - Spouse/Dependents	Active	Designated tuition and mandatory fees are exempted for eligible participants.	Lumberjack Educational Assistance Program
SFA		-	Exemption	LEAP Retiree Employee	Active	Designated tuition and mandatory fees are exempted for eligible participants.	Lumberjack Educational Assistance Program
SFA		-	Exemption	LEAP Retiree Spouse/Dep	Active	Designated tuition and mandatory fees are exempted for eligible participants.	Lumberjack Educational Assistance Program

M Mandatory
O Optional

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

Division		Approved Adjusted Budget As of February 1, 2022	Proposed Budget Adjustments As of June 30, 2022	Approved Adjusted Budget As of July 26, 2022
	Prior Year HEF Unspent Allocation			
Other	Prior Year Unexpended Fund Balance	355,676.87	-319,416.87	36,260.00
Finance & Admin	HEF Campus Space Realignment & Renovations	3,185,740.00	-222,000.00	2,963,740.00
Finance & Admin	Renovate Controller's Office Space		222,000.00	222,000.00
ITS	HEF Infrastructure Refresh	1,310,000.00		1,310,000.00
	Total Prior Year HEF Unspent Allocation	**4,851,416.87**	**(319,416.87)**	**4,532,000.00**
	Debt Service			
Academic Affairs	Debt Service Fine Arts	2,655,579.00		2,655,579.00
University Expenditures	Debt Service Energy Conservation Plan Phase 1			-
University Expenditures	Debt Service Energy Conservation Plan Phase 2			-
University Expenditures	Debt Service Energy Conservation Plan Phase 3	782,393.00		782,393.00
	Total Debt Service	**3,437,972.00**		**3,437,972.00**
	Capital Outlay			
ITS	Cloud-Based Software	1,559,279.00		1,559,279.00
		-		-
University Expenditures	SIS/ERP Hardware and Licensing	495,000.00		495,000.00
Enrollment Management	Financial Aid/Scholarship Software	30,367.00		30,367.00
University Expenditures	Endpoint Management Solution	75,700.00		75,700.00
University Expenditures	Endpoint Protection Solution	108,150.00		108,150.00
University Expenditures	Firewall Annual Subscriptions	154,350.00		154,350.00
University Expenditures	Annual Infrastructure Refresh	250,000.00		250,000.00
Student Affairs	Dining Plan Software	-		-
University Expenditures	Internet Name Resolution Hardware	85,000.00		85,000.00
University Expenditures	SAN Storage	250,000.00		250,000.00
ITS	Annual Campus Refresh Wireless	301,728.00		301,728.00
ITS	ITS Infrastructure Support	1,750,295.00		1,750,295.00
Academic Affairs	Library Materials Budget	1,100,000.00		1,100,000.00
Academic Affairs	Costume Collection Space Supplies	2,234.00		2,234.00
Academic Affairs	CNC Router - Art Shop Equipment	12,000.00		12,000.00
Academic Affairs	Petrographic Thin Section Laboratory Equipment	15,518.00	17,255.10	32,773.10
Academic Affairs	HPE Pool Heat Exchanger	16,000.00		16,000.00
Academic Affairs	Provost HEF Contingency	2,282.00		2,282.00
Academic Affairs	Student Gathering Room Ferguson G71	25,000.00		25,000.00
Academic Affairs	Graduate Athletic Training New Space Equipment	42,549.00		42,549.00
Academic Affairs	Large Format Book Scanner	42,985.00		42,985.00
Academic Affairs	Chicken Farm Boiler Skid	-	98,748.75	98,748.75
Academic Affairs	Camera Security System for Equine		28,500.00	28,500.00
Academic Affairs	Card Swipe for Equine		6,500.00	6,500.00
Academic Affairs	TV station, ECW space, Lounge and Advising upgrades		69,634.15	69,634.15
Academic Affairs	Two simulation manikens		186,957.00	186,957.00
Academic Affairs	Data Analytics server		15,131.00	15,131.00
Academic Affairs	FTIR instruments		31,836.00	31,836.00
Academic Affairs	Furniture for five rooms		54,982.50	54,982.50
Academic Affairs	Anatomage Clinical (mobile) w/table 8 software program		79,015.00	79,015.00
Academic Affairs	Cosmed K5 wearable metabolic sytem		36,000.00	36,000.00
Academic Affairs	McGee building lights upgrade		38,868.00	38,868.00
Finance & Admin	Shelton Gym, Replace 4 AHUs	675,000.00		675,000.00
Finance & Admin	Power Plant 2, Replace Roof	86,400.00		86,400.00
Finance & Admin	Emergency Ops - Federal Signal SS2000D - Siren System	175,000.00		175,000.00
Finance & Admin	Campus Safety Cameras and Operating Software	402,000.00		402,000.00
Finance & Admin	E-Procurement Software	250,000.00		250,000.00
Finance & Admin	Tree Replacement - Phased Approach	38,784.00		38,784.00
Finance & Admin	Replace 25 Dumpsters	25,000.00		25,000.00
Finance & Admin	Police Vehicles (2)	114,000.00		114,000.00
Finance & Admin	Shuttle Bus	140,000.00		140,000.00
Finance & Admin	Touchnet Cashiering	9,500.00		9,500.00
Finance & Admin	Cole Concert Hall Lighting		23,665.00	23,665.00
Finance & Admin	Fire Safety Server Upgrade		71,252.00	71,252.00
Finance & Admin	Payment Works Software		16,740.00	16,740.00
Finance & Admin	iContracts Software		13,139.00	13,139.00
Finance & Admin	Safety Ford F150 Truck		47,000.00	47,000.00
Board of Regents	General Counsel Software		13,900.00	13,900.00
Diversity, Equity & Inc	Title IX Security Camera and Switch	6,871.50		6,871.50
ITS	Computer Replacement		500,000.00	500,000.00
Other	Higher Education Fund Contingency	1,349,123.50	-1,349,123.50	-
	Total Capital Outlay	**7,839,821.00**	**-**	**7,839,821.00**
	Total Higher Education Fund Budget	**11,277,793.00**	**-**	**11,277,793.00**

ADOPTION OF THE FISCAL YEAR 2022-23 INSTITUTIONAL OPERATING BUDGET

Explanation:

Texas Education Code (TEC) Title 3, Subtitle A, Chapter 51 states the following:

Sec. 51.0051. ANNUAL OPERATING BUDGETS. The governing board of each institution shall approve on or before September 1 of each year an itemized budget covering the operation of the institution for the fiscal year beginning on September 1 of each year. The budget shall be prepared within the limits of legislatively appropriated general revenue and estimated educational and general funds.

In addition, Board of Regents Rules state, "The president shall prepare and submit annually to the board at its April or July meeting, as specified each year by the board, a proposed budget for the operation of the institution for the next fiscal period."

The Stephen F. Austin State University proposed institutional operating budget for fiscal year (FY) 2022-23 is $270,020,925. SFA leadership prepared the FY 2022-23 budget based on SFA moving from COVID-19 pandemic recovery in FY 2021-22 to a more normalized state of operations in FY 2022-23. The institutional budget includes the Higher Education Fund (HEF) allocation.

Recommendation:

The administration recommends approval of the fiscal year 2022-23 annual institutional operating budget that totals $270,020,925 and the associated HEF allocation as presented.

SFA Operating Budget

Fiscal Year 2023

Prepared by Finance & Administration

Budget Process

- The FY 2023 operating budget process started with work performed by the University Budget Council (UBC).
- Administration reviewed the priorities and allocations recommended by the UBC.
- The operating budget is the culmination of the efforts of the UBC, President's Cabinet, university department heads, and other employees with budget responsibilities.

Budget Assumptions and Considerations

- Optimistic outlook based on SFA moving from COVID-19 pandemic recovery to more normalized operations

- “Cash” basis budget presentation with separate analysis of fund balance/net position

- Budget all funds, except Bond Funded Construction Projects which are separately approved by the BOR

Budget Assumptions and Considerations

- Flat enrollment resulting in flat tuition and fees revenue, with approximately 11,800 students generating 300,000 SCH

- Optimistic outlook for enrollment with anticipated enrollment increase in new freshmen and continuing undergraduates, though transfers and graduates are estimated to be down

Budget Assumptions and Considerations

- Employee levels of 1321 FT FTEs, 12.76 PT FTEs, 176 vacant positions, not including positions that require student status

- Salaries and Wages not changed in the budget but consideration of compensation in a separate action item by the BOR

- Centralized Benefits

- Funding of Retired Employee Insurance $7,291,869

Budget Assumptions and Considerations

- Anticipated use of expenditure savings by Academic Affairs of $2 million, included in fund balance/net position calculations
- Athletics budget fully presented and funded by $2 million of restricted Athletics gift revenue for operations
- Housing assigned beds increase from 2,957 to 3,388 resulting in additional housing and dining revenue
- Planned use of fund balance/net position within reserve calculations

Operating Budget

	2022	2023	Change	% Change
Operating Funds Budget	231,055,370	233,687,713	2,632,343	1.14%
Restricted Funds Budget	30,964,048	36,333,212	5,369,164	17.34%
Total Budget	262,019,418	270,020,925	8,001,507	3.05%

Additions for FY 2023

The following items are examples of amounts not budgeted in FY 2022 that are added for FY 2023:

Revenues

- HEF fund balance carry forward $3 million
- Hazlewood reimbursement $600,000
- 3 peat tuition and NR electronic fee tuition $600,000
- P-Card Rebate $100,000
- Nursing Shortage Reduction funds $60,000
- Restricted Gift Funds $3.5 million
- Restricted Grant funds $3.8 million

Additions for FY 2023

The following items are examples of amounts not budgeted in FY 2022 that are added for FY 2023:

Expenditure Budgets

- HEF expenditures $3 million
- Housing Allowances/Scholarships $996,000
- Restricted Gift Budgets $1.5 million
- Athletics expenditure budget $2 million funded from restricted gifts
- Restricted Grant funds $3.8 million

VSIP expenditures are not included in the FY 2023 Budget as included in the Net Position analysis instead.

Fund Definitions

Designated Funds	Designated Funds are funded that originate from designated tuition, as approved by the Regents, and certain fees. Most fees recognized as Designated Funds are specific student fees charged to offset the cost of the service.
Education & General Funds	Appropriated Funds, also referred to as "state funds", include all revenues appropriated to SFA through the Texas legislation. Appropriated funds also include other revenues collected by the university that must be remitted back to the state.
Non-Pledged Auxiliary Funds	Auxiliary income and expenditures from sales and service fees that are not pledged for bond repayments.
Pledged Auxiliary Funds	Auxiliary income and expenditures from sales and service of auxiliary enterprises that is pledged for bond repayments.
Restricted Funds	Restricted Funds are generated from sources outside of the university as gifts or grants

Budgeted Revenue

Revenue Type	2022	2023	Change	% Change
Tuition and Fees	106,488,885	107,057,285	568,400	
State Appropriations	60,517,966	60,660,874	142,908	
Grants and Contracts	36,013,361	40,191,255	4,177,894	
Student Housing	15,924,377	20,040,652	4,116,275	
Dining	9,746,495	13,262,411	3,515,916	
Gifts	4,907,159	8,473,157	3,565,998	
Sales and Services	3,133,391	3,142,605	9,214	
Parking	1,243,600	1,367,100	123,500	
Other Athletic Revenue	1,117,500	1,265,250	147,750	
Investment Income	1,200,555	1,145,555	(55,000)	
Camp Revenue	832,410	916,760	84,350	
NCAA Revenue	650,000	850,000	200,000	
Hazlewood Reimbursement-Interagency Transfer	-	600,000	600,000	
Orientation	402,000	404,400	2,400	
Campus Recreation	273,200	289,500	16,300	
Other Revenues	2,500	103,300	100,800	
Additions to Endowments	1,602	-	(1,602)	
Fund Balance General	4,289,538	5,306,162	1,016,624	
HEF Fund Balance	-	3,000,000	3,000,000	
CARES/HEERF Funding	14,911,596	996,000	(13,915,596)	
VSIP Reinvestment Funds from FY 2021	363,284	-	(363,284)	
Comprehensive Regional University (CRU)	-	948,659	948,659	
Total Revenue and Transfers In	**262,019,418**	**270,020,925**	**8,001,507**	**3.05%**

Budgeted Expenditures

Expenditure Type	2022	2023	Change	% Change
Salaries and Wages	84,333,296	93,693,703	9,360,408	
Operating Expenditures	54,414,012	47,104,042	(7,309,970)	
Restricted Expenditure	30,964,048	36,333,212	5,369,164	
Benefits	31,822,196	30,058,740	(1,763,455)	
Scholarships and Fellowships	29,006,773	29,292,440	285,667	
Transfers to Retirement of Debt	21,990,944	21,538,016	(452,928)	
Capital Outlay	7,744,606	10,823,554	3,078,948	
Travel	1,037,818	1,177,218	139,400	
VSIP Annual Payback	705,726	-	(705,726)	
Total Expenditures and Transfers Out	**262,019,418**	**270,020,925**	**8,001,507**	**3.05%**

Tuition and Fee Revenue

Tuition/Fee	2022	2023	Change	% Change
Designated Installment Fee	224,956	271,000	46,044	
Designated Other Fees	840,135	845,625	5,490	
Designated Sales and Service	159,700	102,900	(56,800)	
Designated Tuition	56,925,879	56,648,853	(277,026)	
Distance Education Fee	2,823,880	3,212,798	388,918	
Educational and General Funds	16,126,924	16,580,793	453,869	
Environmental Services Fee	112,993	113,376	383	
GR Differential Tuition	215,178	140,698	(74,480)	
Graduate Application Fees	70,000	52,112	(17,888)	
International Education Fee	67,607	68,052	445	
Non-pledged Auxiliary	8,000	10,090	2,090	
Pledged Auxiliary	270,000	280,000	10,000	
Recreation Center	2,442,784	2,454,775	11,991	
Student Center Fee	1,985,508	1,818,405	(167,103)	
Student Service Fee	3,658,103	3,548,360	(109,743)	
UG Differential Tuition	1,973,740	2,006,524	32,784	
University Services Fee	18,583,497	18,902,924	319,427	
Total Tuition and Fees	**106,488,885**	**107,057,285**	**568,400**	**0.53%**

State Appropriations

Revenue	2022	2023
General Revenue Appn	39,152,019.00	39,149,878.00
HEF Appropriation	11,277,793.00	11,277,793.00
Medical Insurance Supplement	6,233,203.00	6,233,203.00
OASI (FICA) Appropriation	2,102,950.00	1,900,000.00
ORP Appropriation	765,000.00	900,000.00
TRS Appropriation	987,001.00	1,200,000.00
Total State Appropriations	**60,517,966.00**	**60,660,874.00**

State Appropriations
General Revenue

Revenue	2022	2023
Instruction/Operations		
Operations Support	22,769,034.00	22,768,136.00
Teaching Experience Supplement	1,202,926.00	1,202,906.00
Infrastructure Support		
E&G Space Support	4,824,597.00	4,824,424.00
Tuition Revenue Bond Retirement	5,383,800.00	5,382,750.00
Non-Formula Support		
Rural Nursing Initiative	270,370.00	270,370.00
Center for Applied Studies in Forestry	377,523.00	377,523.00
Center for Applied Research and Rural Innovation (CARRI)	1,000,000.00	1,000,000.00
Stone Fort Museum and Research Center of East Texas	71,959.00	71,959.00
Soil Plant and Water Analysis Laboratory	41,048.00	41,048.00
Applied Poultry Studies and Research	38,714.00	38,714.00
Institutional Enhancement	3,028,794.00	3,028,794.00
Research Funds		
Comprehensive Research Fund	143,254.00	143,254.00
Total State Appropriations	**39,152,019.00**	**39,149,878.00**

Budgeted Expenditures by Division
All Funding Sources

Expenditure Type	2022	2023	% Total	Change
Board of Regents	896,854	1,001,870	0.37%	105,016
Centralized Benefits	-	-	0.00%	-
Enrollment Management	26,734,040	28,061,821	10.39%	1,327,781
Information Tech Svcs	5,934,952	5,975,037	2.21%	40,086
Intercollegiate Athletics	14,259,795	16,369,625	6.06%	2,109,830
Diversity, Equity & Inclusion	1,054,863	1,082,906	0.40%	28,043
President	2,015,128	1,314,249	0.49%	(700,879)
Provost & VP Academic Affairs	68,687,523	68,206,106	25.26%	(481,417)
Restricted	30,964,048	36,333,212	13.46%	5,369,164
University Marketing	2,201,347	2,204,937	0.82%	3,590
University Wide	28,428,676	23,212,270	8.60%	(5,216,406)
VP Finance & Administration	28,029,397	24,344,089	9.02%	(3,685,308)
VP for University Advancement	1,444,470	1,436,381	0.53%	(8,089)
VP Student Affairs	18,667,606	29,617,301	10.97%	10,949,695
Centralized Benefits and Longevity	32,700,719	30,861,121	11.43%	(1,839,598)
Total Expenditures and Transfers Out	**262,019,418**	**270,020,924**	**100.00%**	**8,001,507**

Academic Budget Highlights

Overall Academic Budget appears to decrease by $481,477; actual changes are primarily from the following:

- $1 million increase due to CARRI. In FY 2022, the funding was in the President's budget.
- $363,284 decrease due to one-time president innovation funding carry forward from fund balance in FY 2022.
- New Academic positions were funded by moving O&M to salaries so benefits of $366,000 were centralized.
- Academic other fees and revenue and sales and service expenditures provided by departments decreased $270,716.

Academic Budget Highlights

- In FY 2022, the Provost Budget combined summer, adjunct, and graduate assistants in O&M and allocated at a later date. The FY 2023 allocation is presented in the Budget. As a result, there is a swing between these accounts.

- In FY 2022, Academic Affairs utilized salary/expenditure savings for summer,adjuncts,overloads and supplements and anticipates needing approximately $2 million of salary/expenditure savings in FY 2023. This $2 million is included in the university Fund Balance/Net Position reserves calculation.

Provost/VPAA Budgeted Expenditures

Expenditure Type	2022	2023	Change	% Change
Faculty Academic Salaries	37,228,008	41,324,329	4,096,321	
Operations & Maint Budget Pool	18,015,145	7,952,991	(10,062,154)	
Professional Admin Salaries	5,935,429	6,578,633	643,204	
Classified Salaries	4,257,516	4,342,886	85,370	
Adjunct Faculty Salaries		2,210,851	2,210,851	
Graduate Teaching Assts		1,300,000	1,300,000	
Capital Outlay Budget Pool	1,100,000	1,100,000	-	
Budget Use Only-Faculty	732,967	1,049,748	316,781	
Graduate Research Assts		650,000	650,000	
Grant Schol and Fellowships Pool	503,647	470,277	(33,370)	
Classified Wages	320,861	352,972	32,111	
Stipends	300,000	300,000	-	
Graduate Administrative Assts		174,023	174,023	
Budget Use Only-Professional	36,000	161,046	125,046	
Student Employees	111,950	91,950	(20,000)	
Travel Budget Pool	76,400	76,400	-	
Student Workstudy Wages	59,600	60,000	400	
Addl Comp Professional Salaries	10,000	10,000	-	
Total Expenditures without Benefits & Longevity	**68,687,523**	**68,206,106**	**(481,417)**	**-0.70%**
Employee Benefits Budget Pool	14,528,497	1,611,383	(12,917,114)	
Longevity Pay	324,844	16,393	(308,451)	
Total Benefits & Longevity	**14,853,341**	**1,627,776**	**(13,225,565)**	**-89.04%**
Total Expenditures	**83,540,864**	**69,833,882**	**(13,706,982)**	**-16.41%**

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Auxiliary Budget Highlights

- Housing revenue increase of $4.1 million based on assigned beds of 3,388 compared to 2,957 in prior year
- Dining revenue increase of $3.5 million
- Debt Service on housing and dining of $8,071,360
- Expenditure increase to serve additional students living on campus
- Student Center Operations positions and O&M moved from PPD

Housing and Dining

Revenue	2022	2023	Change	% Change
Student Housing				
Room Rate Revenue	15,834,127	19,950,652		
Other Housing Revenue	90,250	90,000		
Total Student Housing Revenue	**15,924,377**	**20,040,652**	**4,116,275**	**25.85%**
Dining				
Meal Plans	7,945,710	10,204,013	2,258,303	
Dining Dollars	1,504,573	1,755,987		
Catering	142,500	300,000		
Commissions	153,712	1,002,411	848,699	
Total Dining Revenue	**9,746,495**	**13,262,411**	**3,515,916**	**36.07%**
Total Housing and Dining	**25,670,872**	**33,303,063**	**7,632,191**	**29.73%**

Athletics Budget Highlights

- FY 2023 Budget inclusive of all athletics funds – the budget has not included the full amount of athletics expenditures in the past.

- Athletics restricted gift funds of $2,063,000 are budgeted in FY 2023 to offset previously unbudgeted expenditures. The Athletic Director will transfer funds from the Foundation/restricted gift funds as needed.

- Athletics positions previously paid from gift funds are included in FY 2023 Athletics budget and funds will transferred from the Foundation/restricted gift funds.

- Small increase in transfer from Designated Tuition because one custodian used by Athletics was in the PPD budget and moved to Athletics to join the three custodian positions in Athletics.

Athletics Budgeted Revenue

Revenue Type	2022	2023	Change	% Change
Athletic Ticket Sales	235,000	265,000	30,000	
Concession Revenues	30,000	30,000	-	
Game Guarantees	675,000	525,000	(150,000)	
NCAA Revenue Distributions	650,000	850,000	200,000	
Pressbox Revenues	-	130,000	130,000	
Camp Revenues - Auxiliary	1,000	250	(750)	
Facilities Rental	-	25,000	25,000	
Equipment Rental	-	20,000	20,000	
Licensing or Royalty Revenues	60,000	270,000	210,000	
Transfers In from University Services Fee	837,028	837,028	-	
Transfers In from Student Service Fee	1,076,040	1,000,000	(76,040)	
Transfers In from Pledged Auxiliary	82,156	82,156	-	
Transfers In from Restricted	-	2,063,000	2,063,000	
Transfers In from DesignatedTuition	11,930,520	11,953,452	22,932	
Total Revenue and Transfers In	**15,576,744**	**18,050,886**	**2,474,142**	**15.88%**

Other Division Highlights

- President – CARRI moved to Academics and organization code changes for split funded positions in prior year
- VPFA – decrease due to positions moved to Student Center Operations and organization code changes for split funded positions in prior year
- Enrollment Management – increase due to housing allowances/scholarships of $996,000
- ITS, DEI, Marketing, Advancement – no significant dollar changes
- University Wide – HEF fund balance use of $3 million, decrease in debt service, exclusion of VSIP savings, and increase in tuition rebates
- Restricted – increase due to budgeting grants that have previously not been included

Restricted Budget Highlights

- Pell Grant Funding $23 million, with an estimated budget increase of $1 million
- Charter School TEA Funding $2.5 million, with an estimated budget increase of $127,088
- Budget additional grants and contracts of $3 million
- Gifts and Donations of $6.4 million with an increase in revenue of $2.8 million which includes additional Athletics gifts and Foundation gifts

Use of Fund Balance

- Use of Fund Balance – planned use helps provide consistent level of resources; funding for large projects; coverage of shortfalls; timing differences.
- CARES/HEERF Fund Balance – Use of $14,911,596 in FY 2022 of federal pandemic funds compared to $996,000 in FY 2023 shows SFA's expected recovery of revenue in FY 2023 to fund operations. The $996,000 is for Housing Allowances approved by the BOR from federal funds.
- General Fund Balance – Use is consistent with previous years.
- HEF Fund Balance – HEF funds are held at the State and carry forward if not spent.
- Comprehensive Regional University (CRU) – pandemic funding from the State expected in August – timing difference.

Fund Balance

Transfer	2022	2023
Fund Balance General	4,289,538	5,306,162
HEF Fund Balance	-	3,000,000
CARES/HEERF Funding	14,911,596	996,000
Comprehensive Regional University (CRU)	-	948,659
VSIP Reinvestment Funds from FY 2021	363,284	-
Total Transfers in from Fund Balance	**19,564,418**	**10,250,821**

University Debt

Total Long-Term Debt as of August 31, 2022

Series	Facility	Institutional Funding Source	FY 2023 Debt Service	Principal	Interest	Total Debt Service	Final Maturity
Series 2016 (TRB)	STEM, Refund 2009 TRB	State Appropriations - Education & General	$ 5,382,750.00	44,995,000	14,308,950	59,303,950	10/15/2036
Series 2013	Student Center	Institutional - Pledged Auxiliary - Student Center Fee	$ 1,795,813.00	5,060,000	332,344	5,392,344	10/15/2024
Series 2015	Rec Center, Housing	Institutional - Designated - Recreation Center Fee, Pledged Auxiliary - Housing	$ 5,278,081.00	20,275,000	825,155	21,100,155	10/15/2025
Taxable Series 2019B	Dining	Institutional - Pledged Auxiliary - Dining	$ 1,304,537.00	13,985,000	4,173,417	18,158,417	10/15/2035
Series 2019A	Housing, Bball Practice, Fine Arts	Institutional/State Appropriations - Pledged Auxiliary - Housing, Designated - University Services Fee, Education & General - Higher Education Fund	$ 5,292,975.00	91,415,000	68,669,675	160,084,675	10/15/2048
Series 2020	Housing	Institutional - Pledged Auxiliary - Housing	$ 1,484,125.00	15,935,000	3,595,625	19,530,625	10/15/2029
Total Bonded Debt			**20,538,281**	**191,665,000**	**91,905,166**	**283,570,166**	
Municipal Lease	Energy Savings Phase 3	Institutional/State Appropriations - Education & General - Higher Education Fund, Pledged Auxiliary Housing	999,735	7,238,538	881,987	8,120,525	4/15/2030
Total Long-Term Debt			**21,538,016**	**198,903,538**	**92,787,153**	**291,690,691**	

Stephen F. Austin State University



Operating Budget Summary

Fiscal Year 2022-2023

Stephen F. Austin State University
FY 2023 Operating Budget
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INTRODUCTION

The Stephen F. Austin State University (SFA) proposed operating budget for fiscal year (FY) 2023 is $270,020,925. The budget increased from the prior year by $8,001,507 or 3.05%. The increase is primarily due to the inclusion of funds that have not traditionally been reflected in the budget, along with an increase in auxiliary operations. SFA leadership prepared the FY 2023 budget with optimistic assumptions based on SFA moving from COVID-19 pandemic recovery in FY 2022 to a more normalized state of operations in FY 2023.

The largest expenditure item in the operating budget is salaries and benefits. The operating budget as presented does not include an increase to employee compensation; however, the Board of Regents (BOR) will consider a separate agenda item related to compensation.

The FY 2023 operating budget process started with work performed by the University Budget Council (UBC). Administration reviewed the priorities and allocations recommended by the UBC. The operating budget is the culmination of the efforts of the UBC, President's Cabinet, university department heads, and other employees with budget responsibilities.

BUDGET BASIS OF ACCOUNTING

The budget is prepared on a cash basis of accounting. With a change in the Vice President for Finance and Administration (VPFA) position as of April 18, 2022, an increased focus was placed on the differences in the operating budget and the annual financial report (AFR), which is prepared on an accrual basis of accounting.

For purposes of the operating budget, the following are examples of differences from the AFR:

- Budget revenues are considered earned and measurable in the FY.
- Budget expenditures are considered incurred in the FY.
- Capital expenditures are expensed as incurred.
- Depreciation expense is not included.
- Expenses that result in accrued liabilities that are non-cash are not included in the budget; examples include pension liability, other post-employment benefit (OPEB) liability, and compensated absences.
- Debt principal payments are expensed.

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BUDGET ASSUMPTIONS AND CONSIDERATIONS

As previously mentioned, SFA leadership was optimistic in preparing the operating budget. Some of the major assumptions and considerations are as follows:

Enrollment – Several methods were used to determine an enrollment estimate. An SFA team worked on a predictive model during FY 2022. The model considers admissions, enrollment, orientation, housing, and other factors to predict enrollment based on student types. The model results in an enrollment prediction that can be used to estimate tuition and fee revenue. The Budget Office also used a traditional method of estimating tuition revenues by analyzing current and historical data.

Enrollment projections as of May 26, 2022 included a decrease in headcount and a slight increase in semester credit hours (SCH). Graduate enrollment is expected to decrease; however, undergraduate freshman enrollment is expected to increase to offset the change.

Tuition and Fees –The operating budget is based on no change to tuition and fee rates. The assumption used in preparing the tuition and fee estimates for the operating budget is that enrollment overall will be flat in FY 2023 compared to FY 2022.

Housing and Dining – As a residential campus with a 60 hour on campus living requirement, the budget anticipates a return to more normal operations and an increase in students living on campus. In addition, the BOR authorized a 4% increase in room rates for FY 2023.

All Funds - An effort is made to enhance transparency and include funds in the budget that have not been included in previous years. Examples include 3-Peat tuition, grant funds, Hazlewood reimbursement, gift funds, and Higher Education Fund (HEF) carry forward from restricted fund balance.

Employees – The operating budget includes approximately 1321 full-time FTEs, 12.76 part-time FTEs, and 176 vacant FTE positions for employees.

Salary and Wages – The largest expenditure item in the operating budget is salaries and benefits. As a budget control, employee benefits are pooled in the operating budget, and salary savings will be pooled during the year.

Benefits – Benefits are budgeted at 24% in FY 2023 compared to 29% for FY 2022. The decrease is a result of utilizing benefits reimbursement; vacant position benefit savings; and pooling of employee benefits.

LEGISLATIVE APPROPRIATIONS

Stephen F. Austin State University
FY 2023 Operating Budget
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Fiscal Year 2023 is the final year of the 2022-2023 biennium. SFA is budgeted to receive $39,149,878 in State General Revenue appropriations.

Revenue	2022	2023
Instruction/Operations		
Operations Support	22,769,034.00	22,768,136.00
Teaching Experience Supplement	1,202,926.00	1,202,906.00
Infrastructure Support		
E&G Space Support	4,824,597.00	4,824,424.00
Tuition Revenue Bond Retirement	5,383,800.00	5,382,750.00
Non-Formula Support		
Rural Nursing Initiative	270,370.00	270,370.00
Center for Applied Studies in Forestry	377,523.00	377,523.00
Center for Applied Research and Rural Innovation (CARRI)	1,000,000.00	1,000,000.00
Stone Fort Museum and Research Center of East Texas	71,959.00	71,959.00
Soil Plant and Water Analysis Laboratory	41,048.00	41,048.00
Applied Poultry Studies and Research	38,714.00	38,714.00
Institutional Enhancement	3,028,794.00	3,028,794.00
Research Funds		
Comprehensive Research Fund	143,254.00	143,254.00
Total State Appropriations	**39,152,019.00**	**39,149,878.00**

The 88th Legislative session will begin in January 2023 to determine appropriations for the 2024-2025 biennium. SFA will submit a Legislative Appropriations Request (LAR) in August 2022 to request appropriated funds for fiscal years 2024 and 2025. The UBC ranked special items for the LAR that will be utilized in the request.

REVENUES

Tuition and Fee Revenue - Based on enrollment projections and additions to the budget, tuition and fees increased 0.53% or $568,400. The increase is due to 3-Peat tuition increasing by $539,600 as it was previously not included in the budget.

Interagency Transfer - SFA receives support through the Hazlewood Exemption Program. The interagency transfer for these funds has previously not been included in the budget. The estimated amount for FY 2023 is $600,000.

Housing Revenue – Student housing funds are budgeted to increase $4,116,275. Student resident on campus living is expected to increase significantly. SFASU experienced a decline in student residents prior to the COVID-19 pandemic as the campus residency requirement was lifted during the pandemic for Fall 2020 and continued to impact housing revenue for Fall 2021. The residency requirement was

reinstated for Fall 2021 and increased housing applications are indicative of an increase in student residents. Assigned beds for Fall 2022 are projected at 3,388 students compared to 2,957 in Fall 2021. Housing rates increase by 4% effective fall 2022.

Dining Revenue - The Chartwells dining contract began in July 2021. Residence Life is anticipating additional students on campus for fiscal year 2023, therefore additional revenue is budgeted for mandatory meal plans. Total dining revenue is expected to increase $3,515,916, of which $2,258,303 is for meal plans and $848,699 is for dining commissions.

Grant Revenues - Grant Revenues have not previously been included in total in the annual operating budget. The budget for fiscal year 2023 is anticipated to be $3,000,000. This estimate may not include all grant revenue awarded, but grants are reported to the BOR on a quarterly basis. Grant revenues are recognized to the extent that funds are expended.

Gift Revenue – All gifts have not previously been included in the operating budget, even though operating expenses were paid from the funds. The amount of gift revenue budgeted is $6.4 million, which includes $2.8 million from Athletics and Foundations gifts.

EXPENDITURES

Debt Service – Debt Service expenditures are budgeted at $21,538,016 which is a decrease of $452,928. Of the total debt service budget, $5,382,750 is appropriated in the GAA and included in Appropriations. Debt Service related to housing and dining bonds increased $591,466.

VSIP Reinvestment Funds - SFA offered a Voluntary Separation Incentive Plan (VSIP) in FY 2021. As part of the plan, amounts were retained for replacement of employees in future years. Funds budgeted in fiscal year 2022 for replacement positions have been allocated for fiscal year 2023. The President's Innovation Fund, which resulted from VSIP savings of $465,891 is budgeted as an expense for FY 2023.

VSIP Expense – In FY 2022, the budget included VSIP savings of $2,828,373, which included a $705,726 pay back to fund balance. These amounts are not budgeted as an expense in FY 2023. Finance and Administration reviews these funds in a Net Position analysis instead.

Benefits – Due to the pooling of Benefits as discussed under Assumptions above, overall benefits are expected to decrease by $1,763,455.

Dining Expenses - The increase in dining expenses is in direct correlation to the increase in dining revenue. Dining Services O&M increased by $2,150,000 due to increased expenses related to the expected increase in meal plan revenue.

Housing Allowances - Due to the COVID-19 pandemic, SFA offered housing allowances to students to encourage on campus living beginning in Fall 2021 and continuing through Fall 2022. These housing allowances were not budgeted in FY 2022; even though they were awarded to students. Estimated housing allowances budgeted for FY 2023 total $996,000. Since these resulted from a pandemic initiative, the $996,000 is budgeted from Fund Balance.

Higher Education Fund Expenditures – HEF expenditures are budgeted at $11,277,793 which is the same level as the prior year. HEF Debt Service decreased by $78,948, increasing the available capital outlay budget by the same amount. The HEF budget allocation for the Library remained the same.

Utility Expenses - Utility expenses were kept at the same level as the prior year. The Basketball Performance Facility was added in FY 2022 and the Fine Arts Building Addition will be added in the Spring of FY 2023; however, prior year utility budgets were conservative to plan for these additions.

Retiree Insurance Expense - Retiree insurance is included in the budget for $7,291,869 which decreased overall by $25,085. Retiree insurance budgets are funded based on the position funding of the individual retiree by either Education and General (E&G), Designated Tuition, or Pledged Auxiliary. Pledged Auxiliary retiree insurance increased by $1,226,801 which was offset by retiree insurance decreases in Designated Tuition of $918,315 and Education & General of $333,571.

Operations and Maintenance Expenses – During FY 2022, the President authorized the use of salary savings. Several departments utilized operations and maintenance (O&M) to support salary restructures, additional positions, and payments, and some departments recognized additional O&M. Salary savings will be centralized for FY 2023.

Grant Expenditures – Grant expenditures are budgeted at the same amount as grant revenue. Grant expenditures in total have not previously been included in the budget.

Contingency - The total contingency expenditure budget for FY 2023 is $2,783,261.

BUDGET PRESENTATION CHANGES

Distance Learning Salaries - For FY 2022, online faculty salaries were budgeted in the Distance Learning Fee Fund. In order to simplify salary funding sources and provide transparency, the online faculty salaries were budgeted in Designated Tuition and funded by a transfer from the Distance Learning Fee Fund for FY 2023.

Student Center Operations - In efforts to centralize custodial and facility operations, all related budgets were moved from the former University Affairs (now Student Affairs) division to the Physical Plant Department (PPD) in FY 2022. For FY 2023, Student Center

Operations has moved back to the Student Affairs division as it was determined no efficiencies were realized from the change.

Athletics – In the FY 2023 operating budget, the transfer from Designated Tuition for Athletics increased because one custodian moved from PPD to Athletics to join the three custodian positions already budgeted in Athletics. For transparency and to budget all funds, Athletic positions previously paid directly from Gift Funds are now budgeted from the Athletics Fund and supported by a transfer in from Restricted Gift Funds. Athletics revenue increased based on projections provided by Athletics and efforts to reflect actual spending; thus, the budget revenue increase includes transfers in of $2,063,000 Restricted Gift Funds.

VPFA Budget – VPFA budget decreased due to moving positions from PPD to Student Center Operations and organization code changes for split funded positions in prior year.

Academic Affairs O&M and Salaries – In FY 2022, the Provost Budget combined summer, adjunct, and graduate assistants in O&M and allocated at a later date. The FY 2023 allocation is presented in the Budget, which results in a swing between O&M and salaries when comparing fiscal years. New academic positions in FY 2023 were funded by moving O&M to salaries, so benefits of $366,000 were centralized.

Center for Applied Research Rural Innovation (CARRI) – The CARRI budget included in Legislative appropriations was combined with Academic Affairs in the FY 2023 budget. CARRI was included in the President's budget for fiscal year 2022.

NET POSITION

Net Position (Fund Balance) Support - After a financial reserve analysis, the budget includes a planned use of fund balance that maintains appropriate reserves within university policy. Using fund balance can help provide a consistent level of resources; funding for large initiatives; coverage of shortfalls; and timing differences. The use of fund balance of $5.3 million in FY 2023 compares to the budgeted use of $4.2 million in FY 2022. HEF fund balance of $3 million is the carry-forward of the HEF funds in the State treasury. These funds were not previously budgeted. Comprehensive Regional University funding of $948,659 is a timing difference as the funds are expected to be received in August of FY 2022. The largest difference in the use of fund balance from the previous year is in the use of CARES/HEERF fund balance. The difference of $14 million shows the university's expected recovery of funds in FY 2023.

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DEBT

Outstanding Debt – As of August 31, 2022, the university has outstanding principal of $198,903,538 and interest of $92,787,153 for total debt of $291,690,691.

Debt Service - Debt service for FY 2023 totals $21,538,016 with $5,382,750 to be paid from State appropriations and $3,454,239 to be paid from HEF.

CAPITAL AND CONSTRUCTION BUDGETS

Construction Project Budgets - SFA has construction project budgets that are separately approved by the BOR and not part of the operating budget. The unexpended balance at the end of FY 2022 is estimated to be $5 million.

Bond Proceeds – The university has unexpended 2019A and 2019B bond proceeds with related interest income of approximately $39.5 million and expects to start the projects in FY 2023. These funds are not part of the operating budget.

Capital Construction Assistance Projects - SFA received a CCAP of $44,922,833 and plans to issue bonds and start expending proceeds in FY 2023. These funds are not part of the operating budget.

Stephen F. Austin State University
Fiscal Year 2022-2023 Operating Budget Summary
Prior Year Comparison

	2022	2023	Change	% Change
Operating Funds Budget	**231,055,370**	**233,687,713**	**2,632,343**	**1.14%**
Restricted Funds Budget	**30,964,048**	**36,333,212**	**5,369,164**	**17.34%**
Total Budget	**262,019,418**	**270,020,925**	**8,001,507**	**3.05%**

Budgeted Revenue

Revenue Type	2022	2023	Change	% Change
Tuition and Fees	106,488,885	107,057,285	568,400	
State Appropriations	60,517,966	60,660,874	142,908	
Grants and Contracts	36,013,361	40,191,255	4,177,894	
Student Housing	15,924,377	20,040,652	4,116,275	
Dining	9,746,495	13,262,411	3,515,916	
Gifts	4,907,159	8,473,157	3,565,998	
Sales and Services	3,133,391	3,142,605	9,214	
Parking	1,243,600	1,367,100	123,500	
Other Athletic Revenue	1,117,500	1,265,250	147,750	
Investment Income	1,200,555	1,145,555	(55,000)	
Camp Revenue	832,410	916,760	84,350	
NCAA Revenue	650,000	850,000	200,000	
Hazlewood Reimbursement-Interagency Transfer	-	600,000	600,000	
Orientation	402,000	404,400	2,400	
Campus Recreation	273,200	289,500	16,300	
Other Revenues	2,500	103,300	100,800	
Additions to Endowments	1,602	-	(1,602)	
Fund Balance General	4,289,538	5,306,162	1,016,624	
HEF Fund Balance	-	3,000,000	3,000,000	
CARES/HEERF Funding	14,911,596	996,000	(13,915,596)	
VSIP Reinvestment Funds from FY 2021	363,284	-	(363,284)	
Comprehensive Regional University (CRU)	-	948,659	948,659	
Total Revenue and Transfers In	**262,019,418**	**270,020,925**	**8,001,507**	**3.05%**

Transfers in from Fund Balance

Transfer	2022	2023	Change	% Change
Fund Balance General	4,289,538	5,306,162	1,016,624	
HEF Fund Balance	-	3,000,000	3,000,000	
CARES/HEERF Funding	14,911,596	996,000	(13,915,596)	
Comprehensive Regional University (CRU)	-	948,659	948,659	
VSIP Reinvestment Funds from FY 2021	363,284	-	(363,284)	
Total Transfers in from Fund Balance	**19,564,418**	**10,250,821**	**(9,313,597)**	**-47.60%**

Budgeted Expenditures

Expenditure Type	2022	2023	Change	% Change
Salaries and Wages	84,333,296	93,693,703	9,360,408	
Operating Expenditures	54,414,012	47,104,042	(7,309,970)	
Restricted Expenditure	30,964,048	36,333,212	5,369,164	
Benefits	31,822,196	30,058,740	(1,763,455)	
Scholarships and Fellowships	29,006,773	29,292,440	285,667	
Transfers to Retirement of Debt	21,990,944	21,538,016	(452,928)	
Capital Outlay	7,744,606	10,823,554	3,078,948	
Travel	1,037,818	1,177,218	139,400	
VSIP Annual Payback	705,726	-	(705,726)	
Total Expenditures and Transfers Out	**262,019,418**	**270,020,925**	**8,001,507**	**3.05%**

Stephen F. Austin State University
Fiscal Year 2022-2023 Operating Budget Summary
Prior Year Comparison

Tuition and Fee Revenue

Tuition/Fee	2022	2023	Change	% Change
Designated Installment Fee	224,956	271,000	46,044	
Designated Other Fees	840,135	845,625	5,490	
Designated Sales and Service	159,700	102,900	(56,800)	
Designated Tuition	56,925,879	56,648,853	(277,026)	
Distance Education Fee	2,823,880	3,212,798	388,918	
Educational and General Funds	16,126,924	16,580,793	453,869	
Environmental Services Fee	112,993	113,376	383	
GR Differential Tuition	215,178	140,698	(74,480)	
Graduate Application Fees	70,000	52,112	(17,888)	
International Education Fee	67,607	68,052	445	
Non-pledged Auxiliary	8,000	10,090	2,090	
Pledged Auxiliary	270,000	280,000	10,000	
Recreation Center	2,442,784	2,454,775	11,991	
Student Center Fee	1,985,508	1,818,405	(167,103)	
Student Service Fee	3,658,103	3,548,360	(109,743)	
UG Differential Tuition	1,973,740	2,006,524	32,784	
University Services Fee	18,583,497	18,902,924	319,427	
Total Tuition and Fees	**106,488,885**	**107,057,285**	**568,400**	**0.53%**

State Appropriations Revenue

Revenue	2022	2023	Change	% Change
General Revenue Appn	39,152,019.00	39,149,878.00	(2,141.00)	
HEF Appropriation	11,277,793.00	11,277,793.00	-	
Medical Insurance Supplement	6,233,203.00	6,233,203.00	-	
OASI (FICA) Appropriation	2,102,950.00	1,900,000.00	(202,950.00)	
ORP Appropriation	765,000.00	900,000.00	135,000.00	
TRS Appropriation	987,001.00	1,200,000.00	212,999.00	
Total State Appropriations	**60,517,966.00**	**60,660,874.00**	**142,908.00**	**0.24%**

State Appropriations Revenue
General Revenue (GR)

Revenue	2022	2023	Change	% Change
Instruction/Operations				
Operations Support	22,769,034.00	22,768,136.00	(898.00)	
Teaching Experience Supplement	1,202,926.00	1,202,906.00	(20.00)	
Infrastructure Support				
E&G Space Support	4,824,597.00	4,824,424.00	(173.00)	
Tuition Revenue Bond Retirement	5,383,800.00	5,382,750.00	(1,050.00)	
Non-Formula Support				
Rural Nursing Initiative	270,370.00	270,370.00	-	
Center for Applied Studies in Forestry	377,523.00	377,523.00	-	
Center for Applied Research and Rural Innovation (CARRI)	1,000,000.00	1,000,000.00	-	
Stone Fort Museum and Research Center of East Texas	71,959.00	71,959.00	-	
Soil Plant and Water Analysis Laboratory	41,048.00	41,048.00	-	
Applied Poultry Studies and Research	38,714.00	38,714.00	-	
Institutional Enhancement	3,028,794.00	3,028,794.00	-	
Research Funds				
Comprehensive Research Fund	143,254.00	143,254.00	-	
Total State Appropriations	**39,152,019.00**	**39,149,878.00**	**(2,141.00)**	**-0.01%**

Stephen F. Austin State University
Fiscal Year 2022-2023 Operating Budget Summary
Prior Year Comparison

Housing and Dining Revenue

Revenue	2022	2023	Change	% Change
Student Housing				
Room Rate Revenue	15,834,127	19,950,652		
Other Housing Revenue	90,250	90,000		
Total Student Housing Revenue	**15,924,377**	**20,040,652**	**4,116,275**	**25.85%**
Dining				
Meal Plans	7,945,710	10,204,013	2,258,303	
Dining Dollars	1,504,573	1,755,987		
Catering	142,500	300,000		
Commissions	153,712	1,002,411	848,699	
Total Dining Revenue	**9,746,495**	**13,262,411**	**3,515,916**	
Total Housing and Dining	**25,670,872**	**33,303,063**	**7,632,191**	**29.73%**

Budgeted Expenditures by Function

Functional Code	2022	2023	% Total	Change
Instruction	53,374,948	60,693,628	22.48%	7,318,680
Scholarships and Fellowships	49,594,114	51,263,163	18.98%	1,669,049
Auxiliary Enterprises	39,281,326	43,030,654	15.94%	3,749,328
Institutional Support	47,258,614	34,715,902	12.86%	(12,542,712)
Academic Support	24,872,160	25,153,172	9.32%	281,012
Athletics	17,515,342	20,140,781	7.46%	2,625,439
Operation and Maintenance of Plant	17,058,366	18,780,714	6.96%	1,722,349
Student Services - Non-Athletics	10,659,456	10,879,188	4.03%	219,732
Research	1,634,418	4,556,171	1.69%	2,921,753
Public Service	770,674	807,551	0.30%	36,877
Total Expenditures	**262,019,418**	**270,020,925**	**100.00%**	**8,001,507**

Allocation of Restricted funds based on estimates

Budgeted Expenditures by Division

Expenditure Type	2022	2023	% Total	Change
Board of Regents	896,854	1,001,870	0.37%	105,016
Centralized Benefits	-	-	0.00%	-
Enrollment Management	26,734,040	28,061,821	10.39%	1,327,781
Information Tech Svcs	5,934,952	5,975,037	2.21%	40,086
Intercollegiate Athletics	14,259,795	16,369,625	6.06%	2,109,830
Diversity, Equity & Inclusion	1,054,863	1,082,906	0.40%	28,043
President	2,015,128	1,314,249	0.49%	(700,879)
Provost & VP Academic Affairs	68,687,523	68,206,106	25.26%	(481,417)
Restricted	30,964,048	36,333,212	13.46%	5,369,164
University Marketing	2,201,347	2,204,937	0.82%	3,590
University Wide	28,428,676	23,212,270	8.60%	(5,216,406)
VP Finance & Administration	28,029,397	24,344,089	9.02%	(3,685,308)
VP for University Advancement	1,444,470	1,436,381	0.53%	(8,089)
VP Student Affairs	18,667,606	29,617,301	10.97%	10,949,695
Centralized Benefits and Longevity	32,700,719	30,861,121	11.43%	(1,839,598)
Total Expenditures and Transfers Out	**262,019,418**	**270,020,924**	**100.00%**	**8,001,507**

Stephen F. Austin State University
Fiscal Year 2022-2023 Operating Budget Summary
Prior Year Comparison

Provost/VP Academic Affairs Budgeted Expenditures

Expenditure Type	2022	2023	Change	% Change
Faculty Academic Salaries	37,228,008	41,324,329	4,096,321	
Operations & Maint Budget Pool	18,015,145	7,952,991	(10,062,154)	
Professional Admin Salaries	5,935,429	6,578,633	643,204	
Classified Salaries	4,257,516	4,342,886	85,370	
Adjunct Faculty Salaries		2,210,851	2,210,851	
Graduate Teaching Assts		1,300,000	1,300,000	
Capital Outlay Budget Pool	1,100,000	1,100,000	-	
Budget Use Only-Faculty	732,967	1,049,748	316,781	
Graduate Research Assts		650,000	650,000	
Grant Schol and Fellowships Pool	503,647	470,277	(33,370)	
Classified Wages	320,861	352,972	32,111	
Stipends	300,000	300,000	-	
Graduate Administrative Assts		174,023	174,023	
Budget Use Only-Professional	36,000	161,046	125,046	
Student Employees	111,950	91,950	(20,000)	
Travel Budget Pool	76,400	76,400	-	
Student Workstudy Wages	59,600	60,000	400	
Addl Comp Professional Salaries	10,000	10,000	-	
Total Expenditures without Benefits & Longevity	**68,687,523**	**68,206,106**	**(481,417)**	**-0.70%**
Employee Benefits Budget Pool	14,528,497	1,611,383	(12,917,114)	
Longevity Pay	324,844	16,393	(308,451)	
Total Benefits & Longevity	**14,853,341**	**1,627,776**	**(13,225,565)**	**-89.04%**
Total Expenditures	**83,540,864**	**69,833,882**	**(13,706,982)**	**-16.41%**

Stephen F. Austin State University
Fiscal Year 2022-2023 Operating Budget Summary
Prior Year Comparison

Athletics Budgeted Revenue

Revenue Type	2022	2023	Change	% Change
Athletic Ticket Sales	235,000	265,000	30,000	
Concession Revenues	30,000	30,000	-	
Game Guarantees	675,000	525,000	(150,000)	
NCAA Revenue Distributions	650,000	850,000	200,000	
Pressbox Revenues	-	130,000	130,000	
Camp Revenues - Auxiliary	1,000	250	(750)	
Facilities Rental	-	25,000	25,000	
Equipment Rental	-	20,000	20,000	
Licensing or Royalty Revenues	60,000	270,000	210,000	
Transfers In from University Services Fee	837,028	837,028	-	
Transfers In from Student Service Fee	1,076,040	1,000,000	(76,040)	
Transfers In from Pledged Auxiliary	82,156	82,156	-	
Transfers In from Restricted	-	2,063,000	2,063,000	
Transfers In from DesignatedTuition	11,930,520	11,953,452	22,932	
Total Revenue and Transfers In	**15,576,744**	**18,050,886**	**2,474,142**	**15.88%**

Athletics Budgeted Expenditures

Expenditure Type	2022	2023	Change	% Change
Professional Admin Salaries	4,572,775	4,882,290	309,515	
Addl Comp Professional Salaries	2,100	2,100	-	
Graduate Administrative Assts	52,500	52,500	-	
Student Employees	78,663	78,663	-	
Classified Salaries	285,693	300,765	15,072	
Addl Comp Classified Salaries	14,500	14,500	-	
Classified Wages	128,958	161,597	32,639	
Travel Budget Pool	1,033,035	1,033,035	-	
Operations & Maint Budget Pool	3,118,652	4,987,756	1,869,104	
Grant Schol and Fellowships Pool	4,856,419	4,856,419	-	
Total Expenditures without Benefits & Longevity	**14,143,295**	**16,369,625**	**2,226,330**	**15.74%**
Employee Benefits Budget Pool	1,386,511	1,634,176	247,665	
Longevity Pay	46,938	47,085	147	
Total Benefits & Longevity	**1,433,449**	**1,681,261**	**247,812**	**17.29%**
Total Expenditures	**15,576,744**	**18,050,886**	**2,474,142**	**15.88%**

Stephen F. Austin State University
Fiscal Year 2022-2023 Operating Budget Summary
Budget by Funding Source

Budgeted Revenue

Revenue Type	Education & General	Designated	Non-Pledged Auxiliary	Pledged Auxiliary	Restricted	Total
Tuition and Fees	16,580,793	84,819,637	3,558,450	2,098,405		107,057,285
State Appropriations	60,660,874					60,660,874
Grants and Contracts	10,020,000	246,000			29,925,255	40,191,255
Student Housing				20,040,652		20,040,652
Dining				13,262,411		13,262,411
Gifts		2,200			8,470,957	8,473,157
Sales and Services	734,040	1,653,015	204,500	551,050		3,142,605
Parking				1,367,100		1,367,100
Other Athletic Revenue			1,265,250			1,265,250
Investment Income	20,000	805,555		320,000		1,145,555
Camp Revenue		731,760		185,000		916,760
NCAA Revenue			850,000			850,000
Hazlewood Reimbursement-Interagency Transfer	600,000					600,000
Orientation		404,400				404,400
Campus Recreation		289,500				289,500
Other Revenues		103,300				103,300
Transfer In Fund Balance General		3,958,339		1,347,823		5,306,162
Transfer In HEF Fund Balance	3,000,000					3,000,000
Transfer in CARES/HEERF Funding				996,000		996,000
Transfer In Comprehensive Regional University (CRU)		948,659				948,659
Total Revenue and Transfers In	**91,615,707**	**93,962,365**	**5,878,200**	**40,168,441**	**38,396,212**	**270,020,925**

Budgeted Expenditures

Expenditure Type	Education & General	Designated	Non-Pledged Auxiliary	Pledged Auxiliary	Restricted	Total
Salaries and Wages	44,373,258	35,625,658	6,752,708	6,942,079		93,693,703
Operating Expenditures	1,190,425	20,293,620	6,387,107	19,232,891		47,104,042
Restricted Expenditure					36,333,212	36,333,212
Benefits	14,299,477	10,023,092	1,998,869	3,737,303		30,058,740
Scholarships and Fellowships	9,900,000	14,333,796	5,058,644			29,292,440
Transfers to Retirement of Debt	8,836,989	2,833,854		9,867,173		21,538,016
Capital Outlay	10,823,554					10,823,554
Travel		53,783	1,098,435	25,000		1,177,218
Total Expenditures and Transfers Out	**89,423,703**	**83,163,803**	**21,295,762**	**39,804,446**	**36,333,212**	**270,020,925**

Fund Balance Support

Transfer	Education & General	Designated	Non-Pledged Auxiliary	Pledged Auxiliary	Restricted	Total
Transfer in Fund Balance General		3,958,339		1,347,823		5,306,162
Transfer In HEF Fund Balance	3,000,000					3,000,000
Transfer in CARES/HEERF Funding				996,000		996,000
Transfer In Comprehensive Regional University (CRU)		948,659				948,659
Total Transfers	**3,000,000**	**4,906,998**	**-**	**2,343,823**	**-**	**10,250,821**

Stephen F. Austin State University
Fiscal Year 2022-2023 Operating Budget Summary
Debt

Debt Service by Funding Source

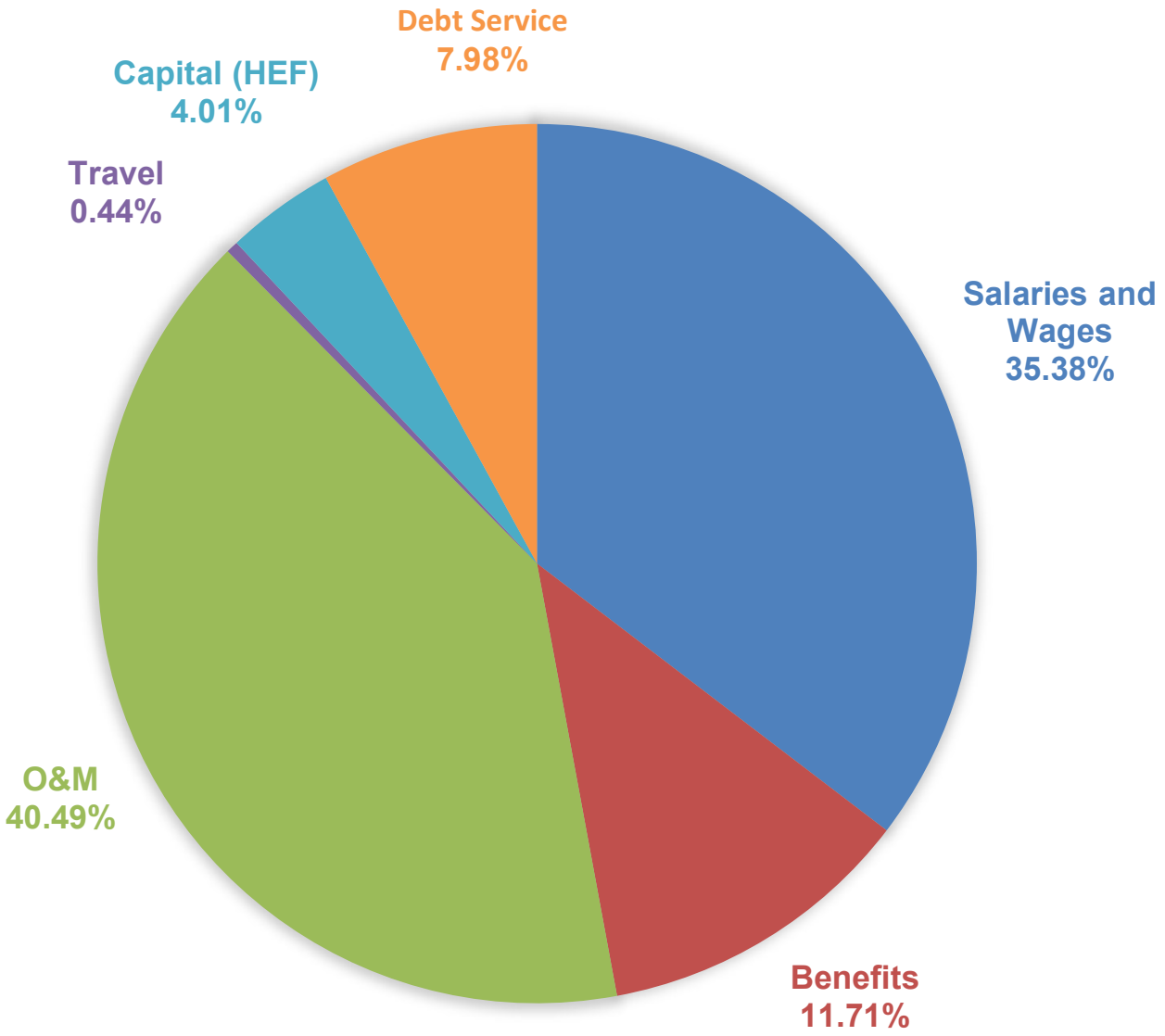
Debt Series	Facility	Funding Source	Institutional Funding Source	FY 2022	FY 2023	Change	% Change
Series 2016	STEM, Refund 2009 TRB	State Appropriations	Education & General - State Appropriations	5,383,800	5,382,750	(1,050)	
Series 2019A	Fine Arts	Institutional - HEF	Education & General - Higher Education Fund	2,655,579	2,654,451	(1,128)	
Municipal Lease	Energy Savings Phase 3	Institutional - HEF	Education & General - Higher Education Fund	877,608	799,788	(77,820)	
Total Debt Service funded from State Sources				**8,916,987**	**8,836,989**	**(79,998)**	**-0.90%**
Series 2015, 2019A, 2020, Municipal Lease	Housing	Institutional	Pledged Auxiliary - Housing	7,479,894	8,071,360	591,466	
Series 2013, Refunding 2004	Student Center	Institutional	Pledged Auxiliary - Student Center Fee	2,762,688	1,795,813	(966,875)	
Series 2015	Rec Center	Institutional	Designated - Recreation Center Fee	1,450,474	1,453,540	3,066	
Series 2019A	Bball Practice	Institutional	Designated - University Services Fee	1,380,901	1,380,314	(587)	
Total Debt Service funded from Institutional Funds				**13,073,957**	**12,701,027**	**(372,930)**	**-2.85%**
Total Debt Service				**21,990,944**	**21,538,016**	**(452,928)**	**-2.06%**

Stephen F. Austin State University
Fiscal Year 2022-2023 Operating Budget Summary
Debt

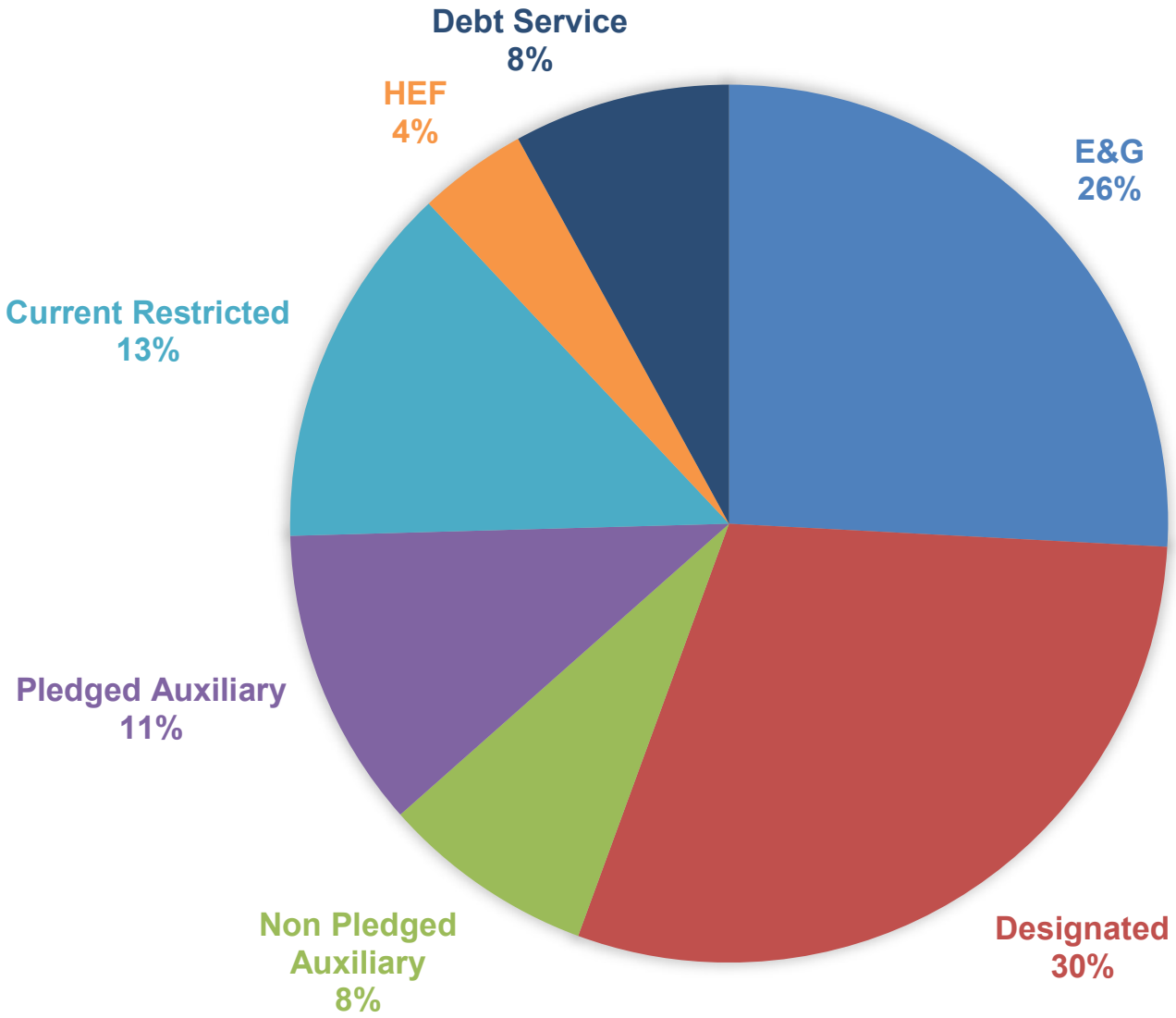
Total Long-Term Debt as of August 31,2022

Series	Facility	Funding Source	Institutional Funding Source	Principal	Interest	Total Debt Service	Final Maturity
Series 2016 (TRB)	STEM, Refund 2009 TRB	State Appropriations	Education & General - State Appropriations	44,995,000	14,308,950	59,303,950	10/15/2036
Series 2013	Student Center	Institutional	Pledged Auxiliary - Student Center Fee	5,060,000	332,344	5,392,344	10/15/2024
Series 2015	Rec Center, Housing	Institutional	Designated - Recreation Center Fee, Pledged Auxiliary - Housing	20,275,000	825,155	21,100,155	10/15/2025
Taxable Series 2019B	Dining	Institutional	Pledged Auxiliary - Dining	13,985,000	4,173,417	18,158,417	10/15/2035
Series 2019A	Housing, Bball Practice, Fine Arts	Institutional	Pledged Auxiliary - Housing, Designated - University Services Fee, Education & General - Higher Education Fund	91,415,000	68,669,675	160,084,675	10/15/2048
Series 2020	Housing	Institutional	Pledged Auxiliary - Housing	15,935,000	3,595,625	19,530,625	10/15/2029
Total Bonded Debt				**191,665,000**	**91,905,166**	**283,570,166**	
Municipal Lease	Energy Savings Phase 3	Institutional	Education & General - Higher Education Fund	7,238,538	881,987	8,120,525	4/15/2030
Total Long-Term Debt				**198,903,538**	**92,787,153**	**291,690,691**	

Budgeted Expenditure Categories for All Funds Fiscal Year 2022-23



Budgeted Expenditures by Fund
Fiscal Year 2022-23



Stephen F. Austin State University

Proposed

Operating and Capital Budgets

Fiscal Year 2022-2023

Stephen F. Austin State University

2022-2023 Institutional Operating Budget

SUMMARY

Texas Education Code (TEC) Title 3, Subtitle A, Chapter 51 states the following:

Sec. 51.0051. ANNUAL OPERATING BUDGETS. The governing board of each institution shall approve on or before September 1 of each year an itemized budget covering the operation of the institution for the fiscal year beginning on September 1 of each year. The budget shall be prepared within the limits of legislatively appropriated general revenue and estimated educational and general funds.

In addition, Board of Regents Rules state, “The president shall prepare and submit annually to the board at its April or July meeting, as specified each year by the board, a proposed budget for the operation of the institution for the next fiscal period.”

The Stephen F. Austin State University proposed institutional operating budget for fiscal year (FY) 2022-23 is $270,020,925. SFA leadership prepared the FY 2022-23 budget based on SFA moving from COVID-19 pandemic recovery in FY 2021-22 to a more normalized state of operations in FY 2022-23. The institutional budget includes the Higher Education Fund (HEF) allocation.

BUDGET SUMMARY

Stephen F. Austin State University
Budgeted Expenditures
Fiscal Year 2022-23

	Faculty Salaries	Exempt Salaries	Classified Wages	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operation & Maintenance	Travel	Capital Outlay	Debt Service	Total
Educational & General Funds	34,966,542	4,501,567	4,622,341	60,000	222,808		14,299,477	11,090,425		10,823,554	8,836,989	89,423,703
Designated Purpose Funds	10,918,386	15,317,810	8,099,211	871,359	408,413	10,480	10,023,092	34,627,416	53,783		2,833,854	83,163,802
Non-Pledged Auxiliary Funds		5,529,682	953,667	206,666	62,693		1,998,869	11,445,750	1,098,435			21,295,762
Pledged Auxiliary Funds		2,919,691	2,991,990	907,792	108,466	14,140	3,737,303	19,232,891	25,000		9,867,173	39,804,446
Restricted Funds		1,457,262	611,684	586,000	9,866		727,459	32,930,941	10,000			36,333,212
TOTALS	**45,884,928**	**33,041,962**	**17,278,893**	**2,631,816**	**812,247**	**24,620**	**31,302,987**	**129,575,335**	**1,187,218**	**10,823,554**	**21,538,016**	**270,020,925**

Stephen F. Austin State University
Budgeted Expenditures
Fiscal Year 2021-22

	Faculty Salaries	Exempt Salaries	Classified Wages	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operation & Maintenance	Travel	Capital Outlay	Debt Service	Total
Educational & General Funds	33,017,850	3,515,751	3,425,573	59,600	201,835		17,229,977	11,293,063		7,744,606	8,916,987	85,405,242
Designated Purpose Funds	4,943,125	14,593,212	9,396,908	903,035	498,299	10,050	10,225,615	47,355,677	59,383		2,831,375	90,816,679
Non-Pledged Auxiliary Funds		5,302,838	907,714	207,647	64,063		1,779,777	9,553,738	1,098,435			18,914,212
Pledged Auxiliary Funds		3,102,329	3,131,089	923,912	114,326	14,140	2,586,827	15,779,032	25,000		10,242,582	35,919,237
Restricted Funds		1,585,706	589,286	782,329	16,397		746,793	27,204,726	38,811			30,964,048
TOTALS	**37,960,975**	**28,099,836**	**17,450,570**	**2,876,523**	**894,920**	**24,190**	**32,568,989**	**111,186,236**	**1,221,629**	**7,744,606**	**21,990,944**	**262,019,418**

Stephen F. Austin State University
Higher Education Funds
Fiscal Year 2022-23

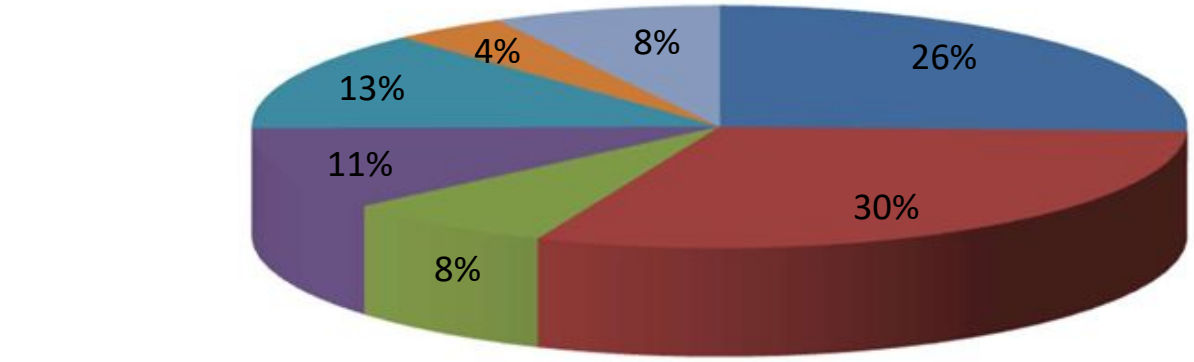
	HEF Appropriation	HEF Fund Balance	Total
FY 2023 Higher Education Fund (HEF) Appropriation	**11,277,793**		
HEF Fund Balance		**3,000,000**	
Total Funds Available			**14,277,793**
Higher Education Fund Allocation			
Debt Service			
Debt Service Fine Arts	2,654,451		
SECO Phase 3	799,788		
Total Debt Service	**3,454,239**		**3,454,239**
Capital Outlay			
Library Materials	1,100,000		
HEF Other	6,723,554	3,000,000	
Total Capital Outlay	**7,823,554**	**3,000,000**	**10,823,554**
Total Higher Education Fund Allocation	**11,277,793**	**3,000,000**	**14,277,793**

Stephen F. Austin State University
Schedule of Debt Service
For the Fiscal Year Ending August 31, 2023

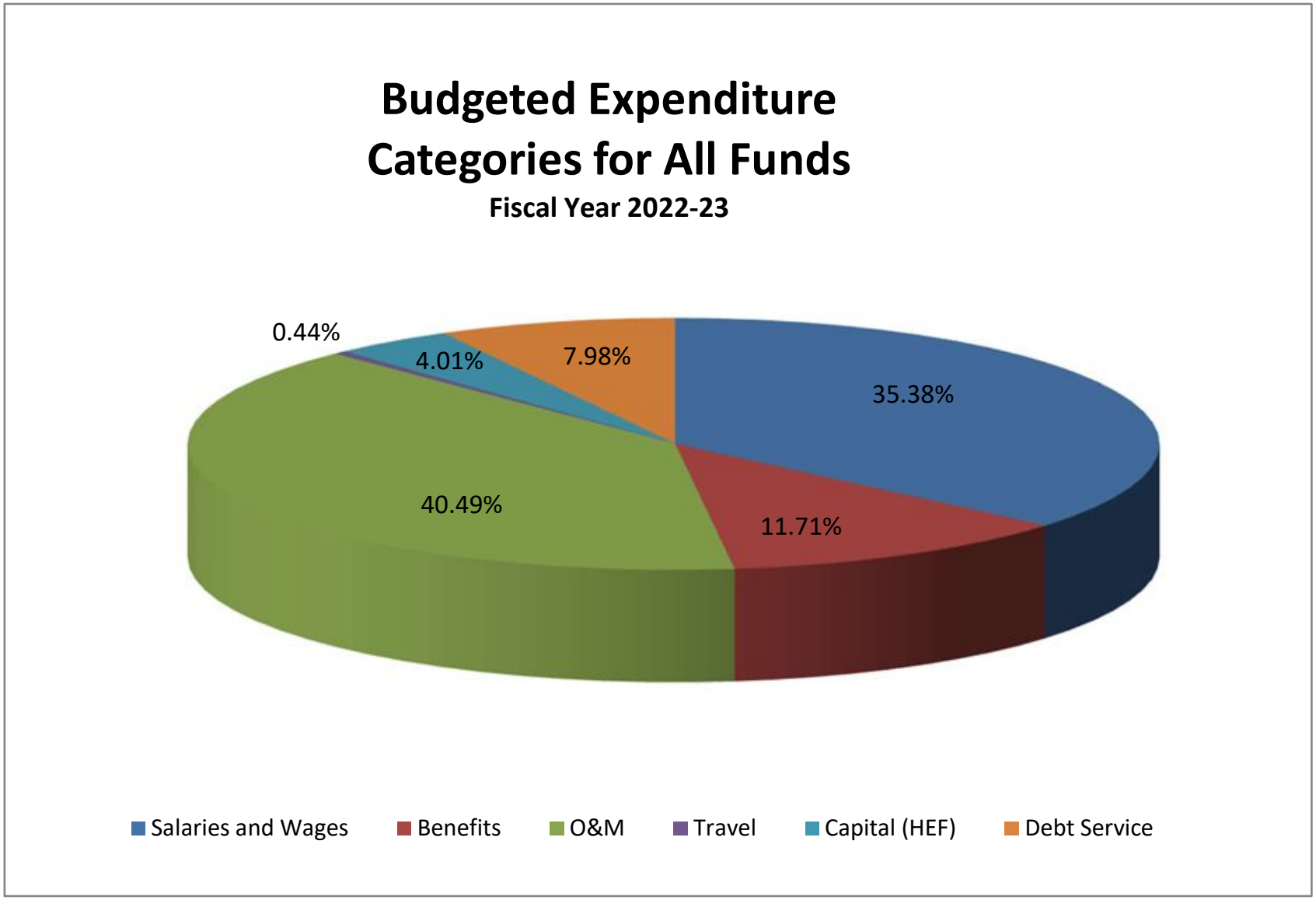
Project	2004 Refunding Student Ctr	2015 Refunding Phase I	2015 Refunding Phase II & Rec Ctr	2016 STEM Center & Refunding 2008 and 2009 Issues	2019 A Projects			2019 A TOTAL	2019 B TAXABLE Dining Hall	2020 '10 Refunding Freshman Hall & Garage	Energy Savings Phase 3 MuniLease Purch	Total
Type of Debt	Bond	Bond	Bond	Bond	B-ball Train Facil	Fine Arts	Res Hall		Bond			
Year Issued	13	15	15	16	19	19	19	19	19		14	
If Bond, type of Bond	Revenue	Revenue	Revenue	TRB	Revenue	Revenue	Revenue	Revenue	Revenue			
October 15, 2022												
Principal	1,605,000	1,070,000	3,850,000	3,310,000	332,497	639,418	303,084	1,275,000	790,000	705,000		12,605,000
Interest	115,469	44,924	158,840	1,077,750	528,065	1,015,509	481,351	2,024,925	263,275	398,375		4,083,557
Fees												-
April 15, 2023												
Principal											805,018	805,018
Interest	75,344	34,170	120,148	995,000	519,752	999,524	473,774	1,993,050	251,263	380,750	194,717	4,044,441
Fees												-
Total Requirements	1,795,813	1,149,094	4,128,988	5,382,750	1,380,314	2,654,451	1,258,210	5,292,975	1,304,537	1,484,125	999,735	21,538,016
Sources of Funds												
Muni Lease amts not drawn down used for DS												-
THECB TRB												-
E&G TRB				5,382,750				-				5,382,750
E&G HEF						2,654,451		2,654,451			799,788	3,454,239
Designated			1,453,540		1,380,314			1,380,314				2,833,855
Auxiliary - Housing		1,149,094	2,675,448				1,258,210	1,258,210	1,304,537	1,484,125	199,947	8,071,360
Auxiliary - UC	1,795,813							-				1,795,813
Total Sources of Funds	1,795,813	1,149,094	4,128,988	5,382,750	1,380,314	2,654,451	1,258,210	5,292,975	1,304,537	1,484,125	999,735	21,538,016

Comparison of Total Budgeted Expenditures by Fund

Fiscal Year 2022-23



E&G
Designated
Non Pledged Auxiliary
Pledged Auxiliary
Current Restricted
HEF
Debt Service


Budgeted Expenditure
Categories for All Funds
Fiscal Year 2022-23
0.44%
4.01%
7.98%
35.38%
40.49%
11.71%
Salaries and Wages
Benefits
O&M
Travel
Capital (HEF)
Debt Service

Stephen F. Austin State University
Education and General Revenues and Expenditures
Fiscal Year 2022-23

EXPENDITURES

	2021-22		2022-23	
Estimated Expenditures:				
Institutional Support		23,216,209		24,666,032
Student Services		10,021,364		10,462,216
Resident Instruction:				
Faculty Salaries	32,653,713		34,550,482	
Departmental Operating Exp	12,120,137		3,356,668	
Instructional Administration	1,697,279	46,471,129	1,942,494	39,849,644
Library		1,100,000		1,100,000
Organized Activities		800,343		734,040
Organized Research		143,254		143,254
Physical Plant:				
Custodial Services	1,853,329	1,853,329	1,293,234	1,293,234
Special Items:				
Applied Poultry Studies	38,714		38,714	
Center for Applied Rsrch & Rural Innov	1,000,000		1,000,000	
Center for Applied Studies	377,523		377,523	
Rural Nursing	270,370		270,370	
Soil Lab	41,048		41,048	
Stone Fort Museum	71,959	1,799,614	71,959	1,799,614
Centralized Benefits				9,375,669
Total Estimated Expenditures		85,405,242		89,423,703

Stephen F. Austin State University
Education and General Revenues and Expenditures
Fiscal Year 2022-23

REVENUES AND TRANSFERS IN

	2021-22		2022-23	
Estimated Revenues & Resources:				
State Appropriations:				
General Revenue	39,152,019		39,149,878	
Group Health Insurance	6,233,203		6,233,203	
FICA General Revenue	2,102,950		1,900,000	
TRS General Revenue	987,001		1,200,000	
ORP General Revenue	765,000		900,000	
Higher Education Fund*	11,277,793		14,277,793	
		60,517,966		63,660,874
State Passthroughs:				
Texas Grant Program	9,940,830		9,900,000	
Texas College Work Study	59,600		60,000	
Nursing Shortage Reduction	0	10,000,430	60,000	10,020,000
Transfer In From Other Agencies-Legislative:				
Texas Veterans Hazlewood			370,000	
Military Veterans Hazlewood	0	0	230,000	600,000
Student Fees:				
Tuition	13,874,526		14,223,189	
Individual Instruction Fees	165,600	14,040,126	165,600	14,388,789
Organized Activities:				
Early Childhood Lab	678,720		641,040	
Soil Lab	50,000		50,000	
Beef Farm	35,000		35,000	
Swine Farm	8,000	771,720	8,000	734,040
Other Income and Transfers:				
Investment Income	75,000	75,000	20,000	20,000
Total Estimated Revenues & Resources		85,405,242		89,423,703

*FY 2023 HEF Fund Balance of $3 million included

Stephen F. Austin State University
Education and General
Budget Summary by Element of Cost
Fiscal Year 2022-23

E&G Fund	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Benefits	Operations & Maintenance	Travel	Capital Outlay	TOTAL
Institutional Support	0	1,215,299	33,336	60,000	0	4,796,854	8,836,989	0	9,723,554	24,666,032
Student Services	0	416,907	145,309	0	0	0	9,900,000	0	0	10,462,216
Resident Instruction	34,550,482	2,287,376	2,922,328	0	260	23,426	65,772	0	0	39,849,644
Library	0	0	0	0	0	0	0	0	1,100,000	1,100,000
Organized Activities	30,772	306,569	182,999	0	5,480	140,000	68,220	0	0	734,040
Organized Research	0	0	0	0	0	0	143,254	0	0	143,254
Physical Plant Operations	0	0	1,293,234	0	0	0	0	0	0	1,293,234
Special Items	385,288	275,416	45,135	0	6,065	174,531	913,179	0	0	1,799,614
Centralized Benefits	0	0	0	0	211,003	9,164,666	0	0	0	9,375,669
TOTALS	34,966,542	4,501,567	4,622,341	60,000	222,808	14,299,477	19,927,414	0	10,823,554	89,423,703

Stephen F. Austin State University
Budget Summary
150 Institutional Support
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Budget Office	0	165,598	0	0	0	0	0	0	0	0	165,598
Center for Teaching and Learning	0	28,515	0	0	0	0	0	0	0	0	28,515
Director University Library	0	0	0	60,000	0	0	0	0	0	0	60,000
Financial Reporting	0	36,440	0	0	0	0	0	0	0	0	36,440
Institutional Effectiveness	0	192,919	33,336	0	0	0	0	0	0	0	226,255
Insurance	0	0	0	0	0	0	4,796,854	0	0	0	4,796,854
Office of the President	0	63,620	0	0	0	0	0	0	0	0	63,620
Provost & VP Academic Affairs	0	332,700	0	0	0	0	0	0	0	0	332,700
Unappropriated Fund Balance	0	0	0	0	0	0	0	0	0	9,723,554	9,723,554
University Revenues	0	0	0	0	0	0	0	8,836,989	0	0	8,836,989
VP Finance & Administration	0	202,594	0	0	0	0	0	0	0	0	202,594
VP for University Advancement	0	192,913	0	0	0	0	0	0	0	0	192,913
*TOTAL 150 Institutional Support	0	1,215,299	33,336	60,000	0	0	4,796,854	8,836,989	0	9,723,554	24,666,032

Stephen F. Austin State University
Budget Summary
152 Student Services
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Financial Aid	0	0	0	0	0	0	0	9,900,000	0	0	9,900,000
Financial Aid Operations	0	388,328	145,309	0	0	0	0	0	0	0	533,637
Student Success Center	0	28,579	0	0	0	0	0	0	0	0	28,579
*TOTAL 152 Student Services	0	416,907	145,309	0	0	0	0	9,900,000	0	0	10,462,216

Stephen F. Austin State University
Education and General
Resident Instruction
Fiscal Year 2022-23

Academic Unit	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Benefits	Operations & Maintenance	Travel	Capital Outlay	TOTAL
Academic Administration	676,439	1,178,520	763,974	0	0	0	0	0	0	2,618,933
College of Business	4,771,649	0	147,359	0	0	0	0	0	0	4,919,008
College of Education	6,448,593	217,427	861,016	0	0	0	0	0	0	7,527,036
College of Fine Arts	4,087,478	178,124	183,726	0	0	0	0	0	0	4,449,328
College of Forestry	1,780,442	172,662	195,475	0	260	23,426	5,772	0	0	2,178,037
College of Liberal & Applied Arts	8,154,119	60,662	319,871	0	0	0	0	0	0	8,534,652
College of Science & Mathematics	8,556,354	156,000	368,662	0	0	0	60,000	0	0	9,141,016
Other Instructional Departments	75,408	323,981	82,245	0	0	0	0	0	0	481,634
TOTALS	34,550,482	2,287,376	2,922,328	0	260	23,426	65,772	0	0	39,849,644

Stephen F. Austin State University
Budget Summary
160 Academic Administration
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Dean College of Business	162,000	210,767	172,129	0	0	0	0	0	0	0	544,896
Dean College of Education	0	0	32,400	0	0	0	0	0	0	0	32,400
Dean College of Fine Arts	0	280,874	46,456	0	0	0	0	0	0	0	327,330
Dean College of Forestry and Ag	123,128	245,492	25,060	0	0	0	0	0	0	0	393,680
Dean College of Sciences & Math	217,452	256,424	168,309	0	0	0	0	0	0	0	642,185
Dean Liberal and AAS	126,124	51,940	175,508	0	0	0	0	0	0	0	353,572
Graduate School	47,735	71,010	91,912	0	0	0	0	0	0	0	210,657
ITS Academic Support	0	11,798	0	0	0	0	0	0	0	0	11,798
Jacks Teach	0	0	52,200	0	0	0	0	0	0	0	52,200
University Partnerships	0	50,215	0	0	0	0	0	0	0	0	50,215
*TOTAL 160 Academic Administration	676,439	1,178,520	763,974	0	0	0	0	0	0	0	2,618,933

Stephen F. Austin State University
Budget Summary
180 College of Business
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Accounting	986,258	0	38,881	0	0	0	0	0	0	0	1,025,139
Bus Communication and Legal Studies	669,218	0	34,668	0	0	0	0	0	0	0	703,886
Economics and Finance	1,281,541	0	33,372	0	0	0	0	0	0	0	1,314,913
Mgt Mkg and Intl Business	1,834,632	0	40,438	0	0	0	0	0	0	0	1,875,070
*TOTAL 180 College of Business	4,771,649	0	147,359	0	0	0	0	0	0	0	4,919,008

Stephen F. Austin State University
Budget Summary
180 College of Education
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
COE Academic Services	133,094	33,000	326,735	0	0	0	0	0	0	0	492,829
COE Assessment and Accountability	133,094	114,427	211,655	0	0	0	0	0	0	0	459,176
Education Studies	2,198,817	0	82,340	0	0	0	0	0	0	0	2,281,157
Human Sciences	1,532,279	0	70,730	0	0	0	0	0	0	0	1,603,009
Human Services & Ed Leadership	1,256,112	70,000	104,300	0	0	0	0	0	0	0	1,430,412
Kinesiology and Health Science	1,195,197	0	65,256	0	0	0	0	0	0	0	1,260,453
*TOTAL 180 College of Education	6,448,593	217,427	861,016	0	0	0	0	0	0	0	7,527,036

Stephen F. Austin State University
Budget Summary
180 College of Fine Arts
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Art	1,179,188	51,548	0	0	0	0	0	0	0	0	1,230,736
Dean College of Fine Arts	0	0	48,820	0	0	0	0	0	0	0	48,820
Music	2,180,717	126,576	99,914	0	0	0	0	0	0	0	2,407,207
Theatre	727,573	0	34,992	0	0	0	0	0	0	0	762,565
*TOTAL 180 College of Fine Arts	4,087,478	178,124	183,726	0	0	0	0	0	0	0	4,449,328

Stephen F. Austin State University
Budget Summary
180 College of Forestry and Agriculture
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Agriculture	848,904	63,039	68,330	0	260	0	23,426	5,772	0	0	1,009,731
Applied Poultry Studies	0	10,478	0	0	0	0	0	0	0	0	10,478
Environmental Science	56,100	0	0	0	0	0	0	0	0	0	56,100
Forestry	875,438	99,145	127,145	0	0	0	0	0	0	0	1,101,728
*TOTAL 180 College of Forestry and Agriculture	1,780,442	172,662	195,475	0	260	0	23,426	5,772	0	0	2,178,037

Stephen F. Austin State University
Budget Summary
180 College of Liberal Arts and AAS
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Anthropology, Geography and Sociolo	714,419	60,662	36,333	0	0	0	0	0	0	0	811,414
English and Creative Writing	953,882	0	30,132	0	0	0	0	0	0	0	984,014
Government	1,181,406	0	39,273	0	0	0	0	0	0	0	1,220,679
History	1,185,332	0	0	0	0	0	0	0	0	0	1,185,332
Languages, Culture & Communication	1,257,690	0	0	0	0	0	0	0	0	0	1,257,690
Linguistics	154,261	0	0	0	0	0	0	0	0	0	154,261
Mass Communications	370,039	0	33,372	0	0	0	0	0	0	0	403,411
Multidisciplinary Studies	433,382	0	36,132	0	0	0	0	0	0	0	469,514
Psychology	1,002,874	0	39,784	0	0	0	0	0	0	0	1,042,658
Social Work	900,834	0	104,845	0	0	0	0	0	0	0	1,005,679
*TOTAL 180 College of Liberal Arts and AAS	8,154,119	60,662	319,871	0	0	0	0	0	0	0	8,534,652

Stephen F. Austin State University
Budget Summary
180 College of Science & Math
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Biology	1,210,278	0	40,110	0	0	0	0	0	0	0	1,250,388
Chemistry	827,605	0	48,600	0	0	0	0	0	0	0	876,205
Computer Science	901,918	0	36,348	0	0	0	0	0	0	0	938,266
Geology	586,951	0	38,385	0	0	0	0	0	0	0	625,336
Math & Stats	2,079,247	0	71,493	0	0	0	0	0	0	0	2,150,740
Nursing Shortage Reduction	0	0	0	0	0	0	0	60,000	0	0	60,000
Physics, Engineering and Astronomy	1,042,567	0	92,701	0	0	0	0	0	0	0	1,135,268
School of Nursing	1,907,788	156,000	41,025	0	0	0	0	0	0	0	2,104,813
*TOTAL 180 College of Science & Math	8,556,354	156,000	368,662	0	0	0	0	60,000	0	0	9,141,016

Stephen F. Austin State University
Budget Summary
156 Other Instructional Departments
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Equine Center	0	41,461	0	0	0	0	0	0	0	0	41,461
International Programs	0	81,000	41,436	0	0	0	0	0	0	0	122,436
Pre Professional Programs	18,501	0	0	0	0	0	0	0	0	0	18,501
STEM Center	0	201,520	0	0	0	0	0	0	0	0	201,520
School of Honors	56,907	0	40,809	0	0	0	0	0	0	0	97,716
*TOTAL 156 Other Instructional Departments	75,408	323,981	82,245	0	0	0	0	0	0	0	481,634

Stephen F. Austin State University
Budget Summary
154 Library
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Director University Library	0	0	0	0	0	0	0	0	0	1,100,000	1,100,000
*TOTAL 154 Library	0	0	0	0	0	0	0	0	0	1,100,000	1,100,000

Stephen F. Austin State University
Budget Summary
158 Organized Activities
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Beef Farms	0	35,000	0	0	0	0	0	0	0	0	35,000
Early Childhood Lab	0	258,665	182,999	0	5,480	0	140,000	53,896	0	0	641,040
Soil Lab	30,772	12,904	0	0	0	0	0	6,324	0	0	50,000
Swine Farm	0	0	0	0	0	0	0	8,000	0	0	8,000
*TOTAL 158 Organized Activities	30,772	306,569	182,999	0	5,480	0	140,000	68,220	0	0	734,040

Stephen F. Austin State University
Budget Summary
162 Organized Research
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Research & Sponsored Programs	0	0	0	0	0	0	0	143,254	0	0	143,254
*TOTAL 162 Organized Research	0	0	0	0	0	0	0	143,254	0	0	143,254

Stephen F. Austin State University
Budget Summary
164 Physical Plant
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Custodial Services	0	0	1,293,234	0	0	0	0	0	0	0	1,293,234
*TOTAL 164 Physical Plant	0	0	1,293,234	0	0	0	0	0	0	0	1,293,234

Stephen F. Austin State University
Budget Summary
166 Special Items
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Applied Poultry Studies	0	29,822	0	0	104	0	8,788	0	0	0	38,714
Center for Applied Studies	196,809	0	45,135	0	1,089	0	55,740	78,750	0	0	377,523
Provost CARRI	0	160,000	0	0	0	0	34,080	805,920	0	0	1,000,000
Rural Nursing	188,479	0	0	0	0	0	53,576	28,315	0	0	270,370
Soil Lab	0	33,800	0	0	312	0	6,742	194	0	0	41,048
Stone Fort Museum	0	51,794	0	0	4,560	0	15,605	0	0	0	71,959
*TOTAL 166 Special Items	385,288	275,416	45,135	0	6,065	0	174,531	913,179	0	0	1,799,614

Stephen F. Austin State University
Budget Summary
Centralized Benefits
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Centralized Benefits	0	0	0	0	211,003	0	9,164,666	0	0	0	9,375,669
*TOTAL Centralized Benefits	0	0	0	0	211,003	0	9,164,666	0	0	0	9,375,669

Stephen F. Austin State University
Budget Summary - Designated Funds
Fiscal Year 2022-23

Source and Application of Funds

Department	Designated Tuition	University Services Fee	Differential Tuition	Other Income	TOTALS
AARC	170,155	90,000			260,155
ASEP TEA Technology Fee				21,140	21,140
Academic Advising		202,633			202,633
Academic UG Scholarship	3,750,000				3,750,000
Accounting	200,000				200,000
Administrative Support	37,380				37,380
Admissions	1,243,528	287,482		420,000	1,951,009
Advancement Services	167,532				167,532
Agriculture				20,000	20,000
Anthropology, Geography and Socio	54,000				54,000
Art	147,350				147,350
Art Academy				6,000	6,000
Art Education				5,000	5,000
Arts Information Ofc				7,000	7,000
Audit Services	401,663				401,663
Auto Liability	129,248				129,248
Axe Handle	48,000				48,000
Bands				230,000	230,000
Banner Project Management		289,734			289,734
Biology	126,005				126,005
Board of Regents	88,520			5,000	93,520
Budget Office	77,600				77,600
Building Maintenance		1,346,731			1,346,731
Bus Communication and Legal Studi	384,738				384,738
COE Academic Services	37,000	84,354			121,354
COE Assessment and Accountability	47,538				47,538
CPM Program				45,000	45,000
Campus Rec Equipment Replacement				155,497	155,497
Campus Recreation		200,000		2,778,278	2,978,278
Campus Recycling		5,000			5,000
Capital Campaign	123,980				123,980

Department	Designated Tuition	University Services Fee	Differential Tuition	Other Income	TOTALS
Carpenters		-120			-120
Cattle Development				4,000	4,000
Center for Teaching and Learning		130,701		659,921	790,622
Central Stores		105,311			105,311
Centralized Benefits	4,509,906	2,863,561		528,995	7,902,462
Chemistry	130,271			100	130,371
Childrens Performing Arts				42,000	42,000
Choirs				51,450	51,450
Cnt for Career and Prof Dev	144,440			55,000	199,440
Cole Audiological Lab				300,000	300,000
Community Garden-Sprout				8,000	8,000
Computer Science	140,000				140,000
Counseling Clinic				3,500	3,500
Counseling Services	443,657				443,657
Criminal Justice				300	300
Custodial O&M		-6,460			-6,460
Custodial Services		151,964			151,964
Custodial Services		76,874			76,874
DEXA				200	200
Dance Production				1,760	1,760
Dean College of Business	197,500	115,249			312,749
Dean College of Education	260,201				260,201
Dean College of Fine Arts		40,752			40,752
Dean College of Forestry and Ag				400	400
Dean College of Sciences & Math	42,500	48,868			91,368
Dean Liberal and AAS	170,000				170,000
Dean of Students	41,649				41,649
Development	502,910				502,910
Director University Library	754,530	62,111		1,700	818,341
Disability Services	311,847			100	311,947
Early Childhood Lab				21,600	21,600
Eco - 339 Note Packets				10,000	10,000
Economics and Finance	134,879				134,879
Education Studies	297,026				297,026
Educator Cert Application Fee				61,000	61,000
Emergency Management Ops	4,250				4,250
Employee Blanket Bond Insurance	35,000				35,000
Employee Ed Asst Plan	250,000				250,000
Employee Wellness Program	43,415			1,000	44,415
English and Creative Writing	393,939			890	394,829
Env Sci Sales & Service				300	300

Department	Designated Tuition	University Services Fee	Differential Tuition	Other Income	TOTALS
Equine Center				33,000	33,000
Equine Riding Lesson Program				5,000	5,000
Family Weekend				2,400	2,400
Finance & Admin Services	406,517				406,517
Financial Aid - Set Asides	6,705,656		322,084		7,027,740
Financial Aid - TPEG				2,192,004	2,192,004
Financial Aid ACA				81,000	81,000
Financial Aid Operations	131,946				131,946
Financial Reporting	306,159	47,940		200	354,299
Food Plots and Supp Feeding				100	100
Food Service ECHL				68,280	68,280
Forestry	218,757				218,757
Forestry GIS Lab				200	200
Freshman & Transfer Seminars	10,000				10,000
General Contingency	1,931,866	20,304		281,000	2,233,170
General Services		433,927			433,927
Geology	64,000			25,000	89,000
Government				6,000	6,000
Graduate Application Fee	27,000			52,112	79,112
Graduate School	170,000				170,000
Grounds Care		-120			-120
Grounds Maintenance		552,414			552,414
Health and Wellness Education				6,000	6,000
Heifer Development				25,000	25,000
Heritage Research Center	80,384			900	81,284
History	41,000				41,000
Human Resources	593,462	41,000			634,462
Human Sciences	85,000			8,000	93,000
Human Services & Ed Leadership	499,661				499,661
IDC Revenues	165,000				165,000
ITS Academic Support		106,666		58,991	165,657
ITS Information Security		474,710			474,710
ITS Wepa Student Printing				10,000	10,000
Information Tech Svcs	112,500	2,599,116			2,711,616
Institutional Memberships	70,000				70,000
Institutional Research	278,969			1,000	279,969
Insurance	784,667				784,667
International Programs	68,500			75,552	144,052
International Student Applications				5,000	5,000
Investment Income Bank				100,000	100,000
Jack Camp				96,349	96,349

Department	Designated Tuition	University Services Fee	Differential Tuition	Other Income	TOTALS
Jazz Ensemble				200	200
Jewelry				1,000	1,000
Keyboard Ensemble				1,000	1,000
Kinesiology & Health Science	22,566				22,566
LMB Sales				2,500	2,500
Languages, Culture & Communication	42,537				42,537
Lumberjack Learning Commons	196,972				196,972
Mass Communications	165,000				165,000
Math & Stats	65,000				65,000
Mgt Mkg and Intl Business	271,007				271,007
Military Science	40,365				40,365
Music	225,000			15,100	240,100
Music Preparatory				110,100	110,100
Office of Diversity, Equity & Inc	11,529	154,100			165,629
Office of General Counsel	401,671				401,671
Office of the President	263,732			30,000	293,732
Opera Singers				1,500	1,500
Orchestra				25,250	25,250
Orientation Programs				404,400	404,400
Other Utilities O&M		521,335			521,335
Outside Investments				200,000	200,000
Payroll	78,566	68,062			146,628
Physical Plant		885,793			885,793
Physics, Engineering and Astronomy				15,500	15,500
Planetarium				33,350	33,350
Post Office	49,916				49,916
Poultry Farm				180,000	180,000
Pre-Law Academy				38,750	38,750
Presidents Home	45,625				45,625
Procurement & Business Services	546,162	131,208			677,370
Property Deposit Scholarship				45,000	45,000
Property Services				15,000	15,000
Property and Casualty	550,000				550,000
Provost & VP Academic Affairs	12,015,782		1,825,138		13,840,920
Purple Premium Cattle				25,200	25,200
Purple Promise				100,000	100,000
Quality Assurance System Fee				70,668	70,668
Quantity Foods Lab				26,800	26,800
RHA Safety				500	500
Registrar	524,372			50,000	574,372
Research & Sponsored Programs	286,998				286,998

Department	Designated Tuition	University Services Fee	Differential Tuition	Other Income	TOTALS
Research Enhancement	209,343				209,343
Risk Management	10,000				10,000
SFA Achievement Scholarship	200,000				200,000
SFA Arboretum-Creech	37,952				37,952
SFA Press				160,000	160,000
SFA STEM Scholarships				200,000	200,000
SORM	310,000				310,000
STEM Center	38,000			240,000	278,000
Safety and Risk Management	186,653	115,000			301,653
School Psychology Assessment Cent				4,500	4,500
School of Honors	28,000				28,000
School of Nursing	181,185			1,000	182,185
Social Work	174,042				174,042
Soil Lab				10,000	10,000
Sound Recording				100	100
Speech Workbook				19,000	19,000
Speech and Hearing Clinic				25,000	25,000
Spirit Flags				5,000	5,000
Staff Council	2,000				2,000
Stone Fort Museum	2,726			2,100	4,826
Student Conduct and Outreach	121,125				121,125
Student Publications		123,248			123,248
Student Success Center		15,389			15,389
Student Support Center	39,200	276,319			315,519
Sustainability				113,376	113,376
TX Rangers Scholarship	1,000				1,000
Telecommunication & Networking		1,589,565			1,589,565
Theatre	45,000			18,500	63,500
Title IX Compliance	220,565				220,565
Treasury & Student Business Svcs	101,874	56,240		274,300	432,414
Tuition Rebates	692,000				692,000
UA Divisional Vehicle				100	100
UPD Public Safety	50,000				50,000
UPD Training				1,000	1,000
Univ Res Hall Scholarship	500,000				500,000
University Expenditures	233,600				233,600
University Marketing Communications	1,702,841	352,216		2,500	2,057,557
University Police Department	66,831	553,368			620,199
University Revenues		1,380,314			1,380,314
University Support	65,000				65,000
Utilities	524,825	1,640,143			2,164,968

Department	Designated Tuition	University Services Fee	Differential Tuition	Other Income	TOTALS
VP Finance & Administration	253,749			330,000	583,749
VP Student Affairs	142,586				142,586
VP for University Advancement	54,700				54,700
VPFA Programming	150,379				150,379
VSIP Discretionary Reinvestment	465,891				465,891
Totals	51,407,066	18,233,002	2,147,222	11,376,513	83,163,802

Stephen F. Austin State University
Budget Summary
190 Designated Programs
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
AARC	0	220,570	39,585	0	0	0	0	0	0	0	260,155
ASEP TEA Technology Fee	0	0	0	0	0	0	0	21,140	0	0	21,140
Academic Advising	0	116,000	86,633	0	0	0	0	0	0	0	202,633
Academic UG Scholarship	0	0	0	0	0	0	0	3,750,000	0	0	3,750,000
Accounting	200,000	0	0	0	0	0	0	0	0	0	200,000
Administrative Support	0	0	0	0	0	0	0	37,380	0	0	37,380
Admissions	0	597,196	777,811	32,000	3,223	0	96,137	444,642	0	0	1,951,009
Advancement Services	0	98,332	69,200	0	0	0	0	0	0	0	167,532
Agriculture	0	0	0	0	0	0	0	20,000	0	0	20,000
Anthropology, Geography and Sociolo	54,000	0	0	0	0	0	0	0	0	0	54,000
Art	107,827	0	39,523	0	0	0	0	0	0	0	147,350
Art Academy	0	0	0	0	0	0	0	6,000	0	0	6,000
Art Education	0	0	0	0	0	0	0	5,000	0	0	5,000
Arts Information Ofc	0	0	0	0	0	0	0	7,000	0	0	7,000
Audit Services	0	296,879	0	0	0	0	0	99,364	5,420	0	401,663
Auto Liability	0	0	0	0	0	0	0	129,248	0	0	129,248
Axe Handle	0	48,000	0	0	0	0	0	0	0	0	48,000
Bands	57,490	0	0	0	0	0	17,247	155,263	0	0	230,000
Banner Project Management	0	181,000	0	0	0	0	0	108,734	0	0	289,734
Biology	126,005	0	0	0	0	0	0	0	0	0	126,005
Board of Regents	0	49,000	0	0	0	0	0	44,520	0	0	93,520
Budget Office	0	62,000	0	9,000	0	0	0	6,600	0	0	77,600
Building Maintenance	0	76,029	1,211,702	0	0	0	0	59,000	0	0	1,346,731
Bus Communication and Legal Studies	384,738	0	0	0	0	0	0	0	0	0	384,738
COE Academic Services	0	84,354	37,000	0	0	0	0	0	0	0	121,354
COE Assessment and Accountability	0	0	47,538	0	0	0	0	0	0	0	47,538
CPM Program	0	0	0	0	0	0	0	45,000	0	0	45,000
Campus Rec Equipment Replacement	0	0	0	0	0	0	0	155,497	0	0	155,497
Campus Recreation	0	477,681	192,429	390,881	10,960	0	200,408	1,705,919	0	0	2,978,278
Campus Recycling	0	0	0	0	0	0	0	5,000	0	0	5,000
Capital Campaign	0	0	0	0	0	0	0	123,980	0	0	123,980
Carpenters	0	0	0	0	0	0	0	-120	0	0	-120
Cattle Development	0	0	0	0	0	0	0	4,000	0	0	4,000
Center for Teaching and Learning	0	384,768	300,000	30,000	0	0	0	75,854	0	0	790,622

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Central Stores	0	0	77,817	11,593	0	0	0	15,901	0	0	105,311
Centralized Benefits	0	0	0	0	380,500	0	7,521,962	0	0	0	7,902,462
Chemistry	95,271	0	35,000	0	0	0	0	100	0	0	130,371
Childrens Performing Arts	0	5,978	0	0	238	0	1,793	33,991	0	0	42,000
Choirs	0	0	0	0	0	0	0	51,450	0	0	51,450
Cnt for Career and Prof Dev	0	139,000	0	15,440	0	0	0	45,000	0	0	199,440
Cole Audiological Lab	0	88,633	0	0	1,220	0	26,590	183,557	0	0	300,000
Community Garden-Sprout	0	0	0	0	0	0	0	8,000	0	0	8,000
Computer Science	140,000	0	0	0	0	0	0	0	0	0	140,000
Counseling Clinic	0	0	0	0	0	0	0	3,500	0	0	3,500
Counseling Services	0	371,399	0	8,160	0	0	0	64,098	0	0	443,657
Criminal Justice	0	0	0	0	0	0	0	300	0	0	300
Custodial O&M	0	0	0	0	0	0	0	-6,460	0	0	-6,460
Custodial Services	0	0	46,001	79,997	0	0	0	25,966	0	0	151,964
Custodial Services	0	0	52,474	0	0	0	0	24,400	0	0	76,874
DEXA	0	0	0	0	0	0	0	200	0	0	200
Dance Production	0	0	0	0	0	0	0	1,760	0	0	1,760
Dean College of Business	85,000	141,179	86,570	0	0	0	0	0	0	0	312,749
Dean College of Education	0	170,051	90,150	0	0	0	0	0	0	0	260,201
Dean College of Fine Arts	0	0	40,752	0	0	0	0	0	0	0	40,752
Dean College of Forestry and Ag	0	0	0	0	0	0	0	400	0	0	400
Dean College of Sciences & Math	0	48,868	42,500	0	0	0	0	0	0	0	91,368
Dean Liberal and AAS	0	170,000	0	0	0	0	0	0	0	0	170,000
Dean of Students	0	30,000	11,649	0	0	0	0	0	0	0	41,649
Development	0	437,331	41,000	0	0	0	0	24,579	0	0	502,910
Director University Library	45,000	596,002	175,639	0	0	0	0	1,700	0	0	818,341
Disability Services	0	178,486	89,000	27,558	0	0	0	16,903	0	0	311,947
Early Childhood Lab	0	0	0	0	0	0	0	21,600	0	0	21,600
Eco - 339 Note Packets	0	0	0	0	0	0	0	10,000	0	0	10,000
Economics and Finance	134,879	0	0	0	0	0	0	0	0	0	134,879
Education Studies	182,977	52,049	62,000	0	0	0	0	0	0	0	297,026
Educator Cert Application Fee	0	0	0	0	0	0	0	61,000	0	0	61,000
Emergency Management Ops	0	0	0	0	0	0	0	4,250	0	0	4,250
Employee Blanket Bond Insurance	0	0	0	0	0	0	0	35,000	0	0	35,000
Employee Ed Asst Plan	0	0	0	0	0	0	0	250,000	0	0	250,000
Employee Wellness Program	0	43,415	0	0	0	0	0	1,000	0	0	44,415
English and Creative Writing	391,671	0	2,268	0	0	0	0	890	0	0	394,829
Env Sci Sales & Service	0	0	0	0	0	0	0	300	0	0	300
Equine Center	0	0	0	0	0	0	0	33,000	0	0	33,000

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Equine Riding Lesson Program	0	0	0	0	0	0	0	5,000	0	0	5,000
Family Weekend	0	0	0	0	0	0	0	2,400	0	0	2,400
Finance & Admin Services	0	270,750	0	0	0	0	0	135,767	0	0	406,517
Financial Aid	0	0	0	0	0	0	0	9,219,744	0	0	9,219,744
Financial Aid ACA	0	60,915	0	0	1,583	0	18,502	0	0	0	81,000
Financial Aid Operations	0	47,643	35,700	500	0	0	0	39,103	9,000	0	131,946
Financial Reporting	0	354,099	0	0	0	0	0	200	0	0	354,299
Food Plots and Supp Feeding	0	0	0	0	0	0	0	100	0	0	100
Food Service ECHL	0	0	22,109	0	0	0	6,633	39,538	0	0	68,280
Forestry	188,513	0	30,244	0	0	0	0	0	0	0	218,757
Forestry GIS Lab	0	0	0	0	0	0	0	200	0	0	200
Freshman & Transfer Seminars	10,000	0	0	0	0	0	0	0	0	0	10,000
General Contingency	0	0	0	0	0	0	0	2,233,170	0	0	2,233,170
General Services	0	68,646	316,241	0	0	0	0	49,040	0	0	433,927
Geology	64,000	0	0	0	0	0	0	25,000	0	0	89,000
Government	0	0	0	0	0	0	0	6,000	0	0	6,000
Graduate Application Fee	0	0	27,000	0	0	0	0	52,112	0	0	79,112
Graduate School	0	170,000	0	0	0	0	0	0	0	0	170,000
Grounds Care	0	0	0	0	0	0	0	-120	0	0	-120
Grounds Maintenance	0	66,940	362,956	0	0	0	0	122,518	0	0	552,414
Health and Wellness Education	0	0	0	6,000	0	0	0	0	0	0	6,000
Heifer Development	0	0	0	0	0	0	0	25,000	0	0	25,000
Heritage Research Center	25,928	54,456	0	0	0	0	0	900	0	0	81,284
History	0	0	41,000	0	0	0	0	0	0	0	41,000
Human Resources	0	309,505	249,000	22,618	0	0	0	51,519	1,820	0	634,462
Human Sciences	85,000	0	0	0	0	0	0	8,000	0	0	93,000
Human Services & Ed Leadership	434,861	0	64,800	0	0	0	0	0	0	0	499,661
IDC Revenues	0	0	0	0	0	0	0	165,000	0	0	165,000
ITS Academic Support	0	66,857	78,400	0	0	0	0	20,400	0	0	165,657
ITS Information Security	0	336,274	46,556	0	0	0	0	91,880	0	0	474,710
ITS Wepa Student Printing	0	0	0	0	0	0	0	10,000	0	0	10,000
Information Tech Svcs	0	1,705,007	47,250	0	0	0	0	959,359	0	0	2,711,616
Institutional Memberships	0	0	0	0	0	0	0	70,000	0	0	70,000
Institutional Research	0	278,969	0	0	0	0	0	1,000	0	0	279,969
Insurance	0	0	0	0	0	0	784,667	0	0	0	784,667
International Programs	0	0	68,500	0	0	0	0	75,552	0	0	144,052
International Student Applications	0	0	0	0	0	0	0	5,000	0	0	5,000
Investment Income Bank	0	0	0	0	0	0	0	100,000	0	0	100,000
Jack Camp	0	0	0	5,500	0	0	0	90,849	0	0	96,349

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Jazz Ensemble	0	0	0	0	0	0	0	200	0	0	200
Jewelry	0	0	0	0	0	0	0	1,000	0	0	1,000
Keyboard Ensemble	0	0	0	0	0	0	0	1,000	0	0	1,000
Kinesiology and Health Science	0	0	22,566	0	0	0	0	0	0	0	22,566
LMB Sales	0	0	0	0	0	0	0	2,500	0	0	2,500
Languages, Culture & Communication	0	0	42,537	0	0	0	0	0	0	0	42,537
Lumberjack Learning Commons	0	163,175	33,797	0	0	0	0	0	0	0	196,972
Mass Communications	165,000	0	0	0	0	0	0	0	0	0	165,000
Math & Stats	65,000	0	0	0	0	0	0	0	0	0	65,000
Mgt Mkg and Intl Business	271,007	0	0	0	0	0	0	0	0	0	271,007
Military Science	0	0	40,365	0	0	0	0	0	0	0	40,365
Music	225,000	0	0	0	0	0	0	15,100	0	0	240,100
Music Preparatory	0	10,000	26,227	6,000	0	0	10,868	57,005	0	0	110,100
Office of Diversity, Equity & Inclu	0	110,000	44,100	0	0	0	0	11,529	0	0	165,629
Office of General Counsel	0	386,400	0	0	0	0	0	9,171	6,100	0	401,671
Office of the President	0	191,825	33,787	0	0	0	0	57,320	10,800	0	293,732
Opera Singers	0	0	0	0	0	0	0	1,500	0	0	1,500
Orchestra	0	0	0	0	0	0	0	25,250	0	0	25,250
Orientation Programs	0	125,560	37,525	51,200	2,980	0	48,926	138,209	0	0	404,400
Other Utilities O&M	0	55,400	47,295	0	0	0	0	418,640	0	0	521,335
Outside Investments	0	0	0	0	0	0	0	200,000	0	0	200,000
Payroll	0	68,062	78,566	0	0	0	0	0	0	0	146,628
Physical Plant	0	552,994	106,115	11,433	0	0	0	215,251	0	0	885,793
Physics, Engineering and Astronomy	0	0	0	0	0	0	0	15,500	0	0	15,500
Planetarium	0	0	0	1,500	0	0	0	31,850	0	0	33,350
Post Office	0	24,750	25,166	0	0	0	0	0	0	0	49,916
Poultry Farm	29,388	0	0	0	600	0	8,816	141,196	0	0	180,000
Pre-Law Academy	0	0	0	0	0	0	0	38,750	0	0	38,750
Presidents Home	0	0	0	0	0	0	0	45,625	0	0	45,625
Procurement & Business Services	0	384,066	270,604	12,839	0	0	0	9,561	300	0	677,370
Property Deposit Scholarship	0	0	0	0	0	0	0	45,000	0	0	45,000
Property Services	0	0	0	3,000	0	0	0	12,000	0	0	15,000
Property and Casualty	0	0	0	0	0	0	0	550,000	0	0	550,000
Provost & VP Academic Affairs	7,001,089	1,026,745	57,796	0	0	0	1,175,977	4,579,313	0	0	13,840,920
Purple Premium Cattle	0	0	0	0	0	0	0	25,200	0	0	25,200
Purple Promise	0	0	0	0	0	0	0	100,000	0	0	100,000
Quality Assurance System Fee	0	0	0	0	0	0	0	70,668	0	0	70,668
Quantity Foods Lab	0	0	0	0	0	0	0	26,800	0	0	26,800
RHA Safety	0	0	0	0	0	0	0	500	0	0	500

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Registrar	0	210,458	299,874	29,000	1,836	0	11,074	19,350	2,780	0	574,372
Research & Sponsored Programs	0	250,349	36,649	0	0	0	0	0	0	0	286,998
Research Enhancement	62,700	0	0	0	0	0	2,000	144,643	0	0	209,343
Risk Management	0	0	0	0	0	0	0	10,000	0	0	10,000
SFA Achievement Scholarship	0	0	0	0	0	0	0	200,000	0	0	200,000
SFA Arboretum-Creech	0	0	37,952	0	0	0	0	0	0	0	37,952
SFA Press	0	42,065	0	0	0	0	12,620	105,315	0	0	160,000
SFA STEM Scholarships	0	0	0	0	0	0	0	200,000	0	0	200,000
SORM	0	0	0	0	0	0	0	310,000	0	0	310,000
STEM Center	0	0	38,000	0	0	0	0	240,000	0	0	278,000
Safety and Risk Management	0	199,566	19,166	5,881	0	0	0	77,040	0	0	301,653
School Psychology Assessment Center	0	0	0	0	0	0	0	4,500	0	0	4,500
School of Honors	0	0	28,000	0	0	0	0	0	0	0	28,000
School of Nursing	112,000	0	69,185	0	0	0	0	1,000	0	0	182,185
Social Work	174,042	0	0	0	0	0	0	0	0	0	174,042
Soil Lab	0	1,444	0	0	8	0	433	8,115	0	0	10,000
Sound Recording	0	0	0	0	0	0	0	100	0	0	100
Speech Workbook	0	0	0	0	0	0	0	19,000	0	0	19,000
Speech and Hearing Clinic	0	0	0	0	0	0	0	25,000	0	0	25,000
Spirit Flags	0	0	0	0	0	0	0	5,000	0	0	5,000
Staff Council	0	0	0	0	0	0	0	2,000	0	0	2,000
Stone Fort Museum	0	2,726	0	0	0	0	0	2,100	0	0	4,826
Student Conduct and Outreach	0	107,000	0	8,500	0	0	0	5,625	0	0	121,125
Student Publications	0	79,543	43,705	0	0	0	0	0	0	0	123,248
Student Success Center	0	15,389	0	0	0	0	0	0	0	0	15,389
Student Support Center	0	111,200	77,864	95,255	0	0	0	31,200	0	0	315,519
Sustainability	0	0	0	0	0	0	0	113,376	0	0	113,376
TX Rangers Scholarship	0	0	0	0	0	0	0	1,000	0	0	1,000
Telecommunication & Networking	0	480,354	434,760	0	0	0	0	674,451	0	0	1,589,565
Theatre	0	45,000	0	0	0	0	0	7,500	11,000	0	63,500
Title IX Compliance	0	174,800	0	0	0	0	0	45,765	0	0	220,565
Treasury & Student Business Svcs	0	307,710	41,000	0	5,265	0	78,439	0	0	0	432,414
Tuition Rebates	0	0	0	0	0	0	0	692,000	0	0	692,000
UA Divisional Vehicle	0	0	0	0	0	0	0	100	0	0	100
UPD Public Safety	0	0	0	0	0	0	0	50,000	0	0	50,000
UPD Training	0	0	0	0	0	0	0	1,000	0	0	1,000
Univ Res Hall Scholarship	0	0	0	0	0	0	0	500,000	0	0	500,000
University Expenditures	0	0	0	0	0	0	0	233,600	0	0	233,600

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
University Marketing Communications	0	869,845	428,786	7,504	0	0	0	744,859	6,563	0	2,057,557
University Police Department	0	126,223	466,991	0	0	10,480	0	16,505	0	0	620,199
University Revenues	0	0	0	0	0	0	0	1,380,314	0	0	1,380,314
University Support	0	0	0	0	0	0	0	65,000	0	0	65,000
Utilities	0	0	0	0	0	0	0	2,164,968	0	0	2,164,968
VP Finance & Administration	0	8,021	54,000	0	0	0	0	521,728	0	0	583,749
VP Student Affairs	0	82,500	58,136	0	0	0	0	1,950	0	0	142,586
VP for University Advancement	0	0	54,700	0	0	0	0	0	0	0	54,700
VPFA Programming	0	150,379	0	0	0	0	0	0	0	0	150,379
VSIP Discretionary Reinvestment	0	0	0	0	0	0	0	465,891	0	0	465,891
*TOTAL 190 Designated Programs	10,918,386	15,317,810	8,099,211	871,359	408,413	10,480	10,023,092	37,461,270	53,783	0	83,163,802

Stephen F. Austin State University
Budget Summary - Non-Pledged Auxiliary Funds
Fiscal Year 2022-23

Source and Application of Funds

Department	Designated Tuition	University Services Fee	Student Service Fee	Ticket Sales	Game Guarantees	NCAA Revenue	Concessions	Other Income Transfers	TOTALS
AXE Programming			20,158						20,158
Alumni Relations	210,082								210,082
Athletic Facilities		498,195						25,000	523,195
Athletic Misc. Exp. Schlp			91,792						91,792
Athletic Ticket Office								25,000	25,000
Athletic Training	365,767.0								365,767
Athletic Training Medical	280,000.0		20,000						300,000
Athletic Training Student Trainer	4,500.0		9,000						13,500
Athletics Director	1,500.0		45,000						46,500
Athletics Wellness Center		120,940							120,940
Bands	55,290		174,191						229,481
Baseball Operations	317,151.0			10,500					327,651
Baseball Recruiting	15,675.0								15,675
Baseball Scholarships	244,381.0								244,381
Baseball Travel	108,500.0								108,500
Beach Volleyball Operations	54,000.0								54,000
Beach Volleyball Recruiting	10,000.0								10,000
Beach Volleyball Scholarships	90,000.0								90,000
Beach Volleyball Travel	35,000.0								35,000
Centralized Benefits	1,756,654.0							2,100	1,758,754
Cnt for Career and Prof Dev			22,480						22,480
Dance Production			3,910						3,910
Evening Shuttle Service			48,875						48,875
Football Operations	644,032.0			125,000	444,000		15,000	345,250	1,573,282
Football Recruiting	75,000.0								75,000
Football Scholarships	1,601,393.0		218,488						1,819,881
Football Travel	185,000.0					30,000			215,000
Fraternity/Sorority Life			14,663						14,663
Gallery			35,636						35,636
Game Operations	407,276.0								407,276
General Contingency	10,373							10,090	20,463
Health Services	107,066		644,591					85,000	836,657
Homecoming			14,663					2,000	16,663
Intercollegiate Athletics	147,894.8	217,893				640,000		2,078,055	3,083,843
Jack SORC			5,376						5,376
Leadership and Service			31,769						31,769
Lumberjack Culture Assoc			4,888						4,888
Mens Basketball Operations	690,178.0			90,000	81,000	181,000	15,000		1,057,178
Mens Basketball Recruiting	145,000.0								145,000
Mens Basketball Scholarships	221,593.0		43,298			39,000			303,891
Mens Basketball Travel	175,750.0								175,750
Mens Golf Operations	36,077.0								36,077
Mens Golf Recruiting	1,250.0								1,250
Mens Golf Scholarships	74,824.0		19,168						93,992
Mens Golf Travel	35,800.0								35,800
Mens Track Operations	182,646.0								182,646
Mens Track Recruiting	7,362.0								7,362
Mens Track Scholarships	179,940.0		83,240						263,180
Mens Track Travel	114,073.0								114,073
Mobile Suite Units								5,000	5,000
Multicultural Affairs	89,132		177,288						266,420
Music			88,450						88,450
Orientation Programs			8,143						8,143
Pep Band			21,505						21,505

Department	Designated Tuition	University Services Fee	Student Service Fee	Ticket Sales	Game Guarantees	NCAA Revenue	Concessions	Other Income Transfers	TOTALS
Physical Plant	43,000								43,000
Pressbox Operations								70,000	70,000
Purple Haze			17,595						17,595
Road Bus	53,292							60,000	113,292
SAA Major Events			63,538					92,000	155,538
SAA Programming	8,400		31,280					2,500	42,180
SGA			32,054						32,054
SGA University Speaker Series			14,663						14,663
SORF			53,763						53,763
SSF Student Travel			29,325						29,325
Softball Operations	246,473.0			4,000					250,473
Softball Recruiting	8,075.0								8,075
Softball Scholarships	161,848.0		88,800						250,648
Softball Travel	62,500.0								62,500
Spirit Programs	4,676		240,465						245,141
Sports Clubs			48,875						48,875
Student Athlete Initiatives	45,956.0								45,956
Student Athletic Success	16,620.0								16,620
Student Awards			6,843						6,843
Tennis Operations	63,880.0								63,880
Tennis Recruiting	8,000.0								8,000
Tennis Scholarships	143,838.0		44,400						188,238
Tennis Travel	27,075.0								27,075
The Axes			14,663						14,663
Theatre			63,538						63,538
Title IX Compliance			48,086						48,086
Transportation	49,909		64,759					15,000	129,668
Twirl O Jacks			13,548						13,548
University Police Department			14,663					4,839	19,502
University Series	1,898	27,394	58,644					40,000	127,936
Veterans Resource Center			62,560						62,560
Volleyball Operations	176,526.0			4,000					180,526
Volleyball Recruiting	14,130.0								14,130
Volleyball Scholarships	215,705.0		78,024						293,729
Volleyball Travel	111,125.0								111,125
Womens Basketball Operations	552,480.0		11,560	30,000					594,040
Womens Basketball Recruiting	41,000.0								41,000
Womens Basketball Scholarships	274,863.0		75,000						349,863
Womens Basketball Travel	92,500.0								92,500
Womens Bowling Operations	89,868.0								89,868
Womens Bowling Recruiting	4,500.0								4,500
Womens Bowling Scholarships	90,938.0		10,000						100,938
Womens Bowling Travel	77,900.0								77,900
Womens Golf Operations	77,897.0								77,897
Womens Golf Recruiting	4,000.0								4,000
Womens Golf Scholarships	81,992.0		12,000						93,992
Womens Golf Travel	32,000.0								32,000
Womens Soccer Operations	183,500.0			1,500					185,000
Womens Soccer Recruiting	9,000.0								9,000
Womens Soccer Scholarships	242,192.0		50,230						292,422
Womens Soccer Travel	50,000.0								50,000
Womens Track Operations	182,526.0								182,526
Womens Track Recruiting	8,075.0								8,075
Womens Track Scholarships	265,971.0		100,000						365,971
Womens Track Travel	159,775.0								159,775
TOTALS	12,664,063	864,422	3,195,442	265,000	525,000	890,000	30,000	2,861,834	21,295,762

Stephen F. Austin State University
Budget Summary
170 Non Pledged Auxiliary
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
AXE Programming	0	0	0	10,336	0	0	0	9,822	0	0	20,158
Alumni Relations	0	151,046	59,036	0	0	0	0	0	0	0	210,082
Athletic Facilities	0	6,800	92,595	15,000	0	0	0	408,800	0	0	523,195
Athletic Misc. Exp. Schlp	0	0	0	0	0	0	0	91,792	0	0	91,792
Athletic Ticket Office	0	0	14,000	0	0	0	0	11,000	0	0	25,000
Athletic Training	0	258,137	45,450	0	0	0	0	58,680	3,500	0	365,767
Athletic Training Medical	0	0	0	0	0	0	0	300,000	0	0	300,000
Athletic Training Student Trainers	0	0	0	0	0	0	0	13,500	0	0	13,500
Athletics Director	0	15,000	0	20,000	0	0	0	10,000	1,500	0	46,500
Athletics Wellness Center	0	101,300	0	0	0	0	0	19,640	0	0	120,940
Bands	0	0	36,500	2,000	960	0	10,950	113,671	65,400	0	229,481
Baseball Operations	0	167,901	0	0	0	0	0	159,750	0	0	327,651
Baseball Recruiting	0	0	0	0	0	0	0	5,000	10,675	0	15,675
Baseball Scholarships	0	0	0	0	0	0	0	244,381	0	0	244,381
Baseball Travel	0	0	0	0	0	0	0	35,000	73,500	0	108,500
Beach Volleyball Operations	0	45,000	0	0	0	0	0	9,000	0	0	54,000
Beach Volleyball Recruiting	0	0	0	0	0	0	0	10,000	0	0	10,000
Beach Volleyball Scholarships	0	0	0	0	0	0	0	90,000	0	0	90,000
Beach Volleyball Travel	0	0	0	0	0	0	0	0	35,000	0	35,000
Centralized Benefits	0	0	0	0	51,925	0	1,706,829	0	0	0	1,758,754
Cnt for Career and Prof Dev	0	0	0	22,480	0	0	0	0	0	0	22,480
Dance Production	0	0	0	0	0	0	0	3,910	0	0	3,910
Evening Shuttle Service	0	0	27,377	0	0	0	8,213	13,285	0	0	48,875
Football Operations	0	1,130,400	124,802	0	0	0	0	318,080	0	0	1,573,282
Football Recruiting	0	0	0	0	0	0	0	45,000	30,000	0	75,000
Football Scholarships	0	0	0	0	0	0	0	1,819,881	0	0	1,819,881
Football Travel	0	0	0	0	0	0	0	105,000	110,000	0	215,000
Fraternity/Sorority Life	0	7,025	0	0	0	0	0	7,638	0	0	14,663
Gallery	0	0	0	0	0	0	0	35,636	0	0	35,636
Game Operations	0	2,100	500	17,000	0	0	0	387,676	0	0	407,276
General Contingency	0	0	0	0	0	0	0	20,463	0	0	20,463
Health Services	0	203,055	172,213	0	2,928	0	162,551	295,910	0	0	836,657
Homecoming	0	0	0	0	0	0	0	16,663	0	0	16,663
Intercollegiate Athletics	0	1,002,059	184,515	26,663	0	0	0	1,864,106	6,500	0	3,083,843

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Jack SORC	0	0	0	0	0	0	0	5,376	0	0	5,376
Leadership and Service	0	0	0	0	0	0	0	31,769	0	0	31,769
Lumberjack Culture Assoc	0	0	0	0	0	0	0	4,888	0	0	4,888
Mens Basketball Operations	0	738,568	0	0	0	0	0	318,610	0	0	1,057,178
Mens Basketball Recruiting	0	0	0	0	0	0	0	95,000	50,000	0	145,000
Mens Basketball Scholarships	0	0	0	0	0	0	0	303,891	0	0	303,891
Mens Basketball Travel	0	0	0	0	0	0	0	72,000	103,750	0	175,750
Mens Golf Operations	0	28,697	0	0	0	0	0	7,380	0	0	36,077
Mens Golf Recruiting	0	0	0	0	0	0	0	750	500	0	1,250
Mens Golf Scholarships	0	0	0	0	0	0	0	93,992	0	0	93,992
Mens Golf Travel	0	0	0	0	0	0	0	2,000	33,800	0	35,800
Mens Track Operations	0	157,886	0	0	0	0	0	24,760	0	0	182,646
Mens Track Recruiting	0	0	0	0	0	0	0	1,500	5,862	0	7,362
Mens Track Scholarships	0	0	0	0	0	0	0	263,180	0	0	263,180
Mens Track Travel	0	0	0	0	0	0	0	36,200	77,873	0	114,073
Mobile Suite Units	0	0	0	0	0	0	0	5,000	0	0	5,000
Multicultural Affairs	0	120,027	0	17,092	1,840	0	36,008	91,453	0	0	266,420
Music	0	0	0	0	0	0	0	88,450	0	0	88,450
Orientation Programs	0	0	0	0	0	0	0	8,143	0	0	8,143
Pep Band	0	0	0	10,200	0	0	0	11,305	0	0	21,505
Physical Plant	0	0	0	0	0	0	0	43,000	0	0	43,000
Pressbox Operations	0	0	0	0	0	0	0	70,000	0	0	70,000
Purple Haze	0	0	0	4,400	0	0	0	13,195	0	0	17,595
Road Bus	0	0	32,092	0	0	0	0	81,200	0	0	113,292
SAA Major Events	0	13,500	0	23,500	0	0	0	118,538	0	0	155,538
SAA Programming	0	0	0	3,500	0	0	0	38,680	0	0	42,180
SGA	0	0	0	0	0	0	0	32,054	0	0	32,054
SGA University Speaker Series	0	0	0	0	0	0	0	14,663	0	0	14,663
SORF	0	0	0	0	0	0	0	53,763	0	0	53,763
SSF Student Travel	0	0	0	0	0	0	0	29,325	0	0	29,325
Softball Operations	0	150,953	0	0	0	0	0	99,520	0	0	250,473
Softball Recruiting	0	0	0	0	0	0	0	3,500	4,575	0	8,075
Softball Scholarships	0	0	0	0	0	0	0	250,648	0	0	250,648
Softball Travel	0	0	0	0	0	0	0	32,000	30,500	0	62,500
Spirit Programs	0	61,418	28,788	10,000	2,038	0	27,062	115,835	0	0	245,141
Sports Clubs	0	0	0	0	0	0	0	48,875	0	0	48,875
Student Athlete Initiatives	0	7,500	0	0	0	0	0	38,456	0	0	45,956
Student Athletic Success	0	16,620	0	0	0	0	0	0	0	0	16,620
Student Awards	0	0	0	0	0	0	0	6,843	0	0	6,843

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Tennis Operations	0	47,000	0	0	0	0	0	16,880	0	0	63,880
Tennis Recruiting	0	0	0	0	0	0	0	2,000	6,000	0	8,000
Tennis Scholarships	0	0	0	0	0	0	0	188,238	0	0	188,238
Tennis Travel	0	0	0	0	0	0	0	1,000	26,075	0	27,075
The Axes	0	0	0	0	0	0	0	14,663	0	0	14,663
Theatre	0	0	0	5,000	0	0	0	58,538	0	0	63,538
Title IX Compliance	0	0	0	9,225	0	0	0	38,861	0	0	48,086
Transportation	0	0	75,124	0	1,200	0	22,537	30,807	0	0	129,668
Twirl O Jacks	0	0	0	0	0	0	0	13,548	0	0	13,548
University Police Department	0	0	0	0	0	0	0	19,502	0	0	19,502
University Series	0	36,721	3,675	10,270	1,562	0	12,119	63,589	0	0	127,936
Veterans Resource Center	0	0	42,000	0	240	0	12,600	7,720	0	0	62,560
Volleyball Operations	0	166,618	0	0	0	0	0	13,908	0	0	180,526
Volleyball Recruiting	0	0	0	0	0	0	0	4,880	9,250	0	14,130
Volleyball Scholarships	0	0	0	0	0	0	0	293,729	0	0	293,729
Volleyball Travel	0	0	0	0	0	0	0	17,000	94,125	0	111,125
Womens Basketball Operations	0	485,000	0	0	0	0	0	109,040	0	0	594,040
Womens Basketball Recruiting	0	0	0	0	0	0	0	14,000	27,000	0	41,000
Womens Basketball Scholarships	0	0	0	0	0	0	0	349,863	0	0	349,863
Womens Basketball Travel	0	0	0	0	0	0	0	57,500	35,000	0	92,500
Womens Bowling Operations	0	53,768	15,000	0	0	0	0	21,100	0	0	89,868
Womens Bowling Recruiting	0	0	0	0	0	0	0	2,000	2,500	0	4,500
Womens Bowling Scholarships	0	0	0	0	0	0	0	100,938	0	0	100,938
Womens Bowling Travel	0	0	0	0	0	0	0	2,000	75,900	0	77,900
Womens Golf Operations	0	62,697	0	0	0	0	0	15,200	0	0	77,897
Womens Golf Recruiting	0	0	0	0	0	0	0	2,000	2,000	0	4,000
Womens Golf Scholarships	0	0	0	0	0	0	0	93,992	0	0	93,992
Womens Golf Travel	0	0	0	0	0	0	0	2,000	30,000	0	32,000
Womens Soccer Operations	0	135,000	0	0	0	0	0	50,000	0	0	185,000
Womens Soccer Recruiting	0	0	0	0	0	0	0	5,000	4,000	0	9,000
Womens Soccer Scholarships	0	0	0	0	0	0	0	292,422	0	0	292,422
Womens Soccer Travel	0	0	0	0	0	0	0	38,000	12,000	0	50,000
Womens Track Operations	0	157,886	0	0	0	0	0	24,640	0	0	182,526
Womens Track Recruiting	0	0	0	0	0	0	0	1,000	7,075	0	8,075
Womens Track Scholarships	0	0	0	0	0	0	0	365,971	0	0	365,971
Womens Track Travel	0	0	0	0	0	0	0	35,200	124,575	0	159,775
*TOTAL 170 Non Pledged Auxiliary	0	5,529,682	953,667	206,666	62,693	0	1,998,869	11,445,750	1,098,435	0	21,295,762

Stephen F. Austin State University
Budget Summary - Pledged Auxiliary Funds
Fiscal Year 2022-23

Source and Application of Funds

Departmet	Parking Fees	Mail Services	Student Center Revenues	Food Service	Housing System	Bookstore Revenues	Other Income Transfers	TOTALS
AARC					26,980			26,980
Admissions Housing Allowances					996,000			996,000
Advancement Services					18,668			18,668
Audit Services					105,016			105,016
Budget Office					26,677			26,677
Card Services			10,000					10,000
Centralized Benefits		18,645	42,592		2,056,652			2,117,889
Cnt for Career and Prof Dev					47,270			47,270
Commencement							180,000	180,000
Dean of Students					79,469	170,901		250,370
Development					40,596		115,000	155,596
Dining Services				11,050,000				11,050,000
Emergency Management Ops					72,000			72,000
Financial Reporting					24,750			24,750
Garbage Crew					85,737			85,737
General Contingency					13,906		515,722	529,628
Grounds					80,000			80,000
Housing Operations					1,307,888		1,013,408	2,321,296
Housing R&R					183,938			183,938
Human Resources					97,155			97,155
ITS Public Safety					133,359			133,359
Information Tech Services					273,080			273,080
Insurance					575,655		1,134,693	1,710,348
Lumberjack Village					5,273,515			5,273,515
Office of Student Engagement					222,991			222,991
Office of the President					310,381			310,381
Other Utilities O&M					150,000			150,000
Parking Services	55,000							55,000
Post Office		126,355						126,355
Printing Services			173,563				15,000	188,563
Procurement & Business Services					134,790			134,790
RHA Programs					16,312			16,312
Residence Life Administration					636,606			636,606
Residence Life Operations					852,450			852,450
SC Other Revenue/IDT					-50,000			-50,000
STEM Housing Allowance					17,408			17,408
Safety and Risk Management					21,780			21,780
Steen Hall 17					2,797,845			2,797,845
Student Center Administration					659,728			659,728
Student Center Operations					37,815			37,815
Student Center Operations					580,000			580,000
Student Center R&R					100,000			100,000
Student Life					164,898			164,898
Student Publications					43,149		53,050	96,199

Departmet	Parking Fees	Mail Services	Student Center Revenues	Food Service	Housing System	Bookstore Revenues	Other Income Transfers	TOTALS
Testing Services					73,341		100,000	173,341
Title IX Compliance			50,000					50,000
Treasury & Student Business Svcs			28,899		23,181			52,080
University Police Department	1,312,100		200,378		134,389		14,000	1,660,867
University Revenues			1,795,813					1,795,813
Utilities				1,912,411	984,922	19,099		2,916,432
VP Finance & Administration			7,660					7,660
VP Student Affairs					246,360			246,360
VP for University Advancement			10,000					10,000
Veterans Resource Center			3,500					3,500
TOTALS	1,367,100	145,000	2,322,405	12,962,411	19,676,657	190,000	3,140,873	39,804,446

Stephen F. Austin State University
Budget Summary
172 Pledged Auxiliary
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
AARC	0	0	0	26,980	0	0	0	0	0	0	26,980
Admissions	0	0	0	0	0	0	0	996,000	0	0	996,000
Advancement Services	0	18,668	0	0	0	0	0	0	0	0	18,668
Audit Services	0	105,016	0	0	0	0	0	0	0	0	105,016
Budget Office	0	26,677	0	0	0	0	0	0	0	0	26,677
Card Services	0	0	0	0	0	0	0	10,000	0	0	10,000
Centralized Benefits	0	0	0	0	106,126	0	2,011,764	0	0	0	2,117,889
Cnt for Career and Prof Dev	0	47,270	0	0	0	0	0	0	0	0	47,270
Commencement	0	39,723	10,920	0	2,341	0	15,191	111,825	0	0	180,000
Dean of Students	0	170,000	27,182	5,950	0	0	0	47,238	0	0	250,370
Development	0	0	0	8,525	0	0	0	122,071	25,000	0	155,596
Dining Services	0	0	0	0	0	0	0	11,050,000	0	0	11,050,000
Emergency Management Ops	0	72,000	0	0	0	0	0	0	0	0	72,000
Financial Reporting	0	24,750	0	0	0	0	0	0	0	0	24,750
Garbage Crew	0	0	75,737	0	0	0	0	10,000	0	0	85,737
General Contingency	0	0	0	0	0	0	0	529,628	0	0	529,628
Grounds	0	0	0	0	0	0	0	80,000	0	0	80,000
Housing Operations	0	50,000	1,171,296	300,000	0	0	0	800,000	0	0	2,321,296
Housing R & R	0	0	0	0	0	0	0	183,938	0	0	183,938
Human Resources	0	97,155	0	0	0	0	0	0	0	0	97,155
ITS Public Safety	0	0	128,359	0	0	0	0	5,000	0	0	133,359
Information Tech Svcs	0	240,680	32,400	0	0	0	0	0	0	0	273,080
Insurance	0	0	0	0	0	0	1,710,348	0	0	0	1,710,348
Lumberjack Village	0	0	0	0	0	0	0	5,273,515	0	0	5,273,515
Office of Student Engagement	0	200,098	0	14,493	0	0	0	8,400	0	0	222,991
Office of the President	0	301,381	0	0	0	0	0	9,000	0	0	310,381
Other Utilities O&M	0	0	0	0	0	0	0	150,000	0	0	150,000
Parking Services	0	0	0	0	0	0	0	55,000	0	0	55,000
Post Office	0	20,250	29,070	42,355	0	0	0	34,680	0	0	126,355
Printing Services	0	0	38,563	20,000	0	0	0	130,000	0	0	188,563
Procurement & Business Services	0	102,280	32,510	0	0	0	0	0	0	0	134,790
RHA Programs	0	0	0	0	0	0	0	16,312	0	0	16,312
Residence Life Administration	0	0	0	0	0	0	0	636,606	0	0	636,606
Residence Life Operations	0	447,450	105,000	300,000	0	0	0	0	0	0	852,450

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
SC Other Revenue/IDT	0	0	0	0	0	0	0	-50,000	0	0	-50,000
STEM Housing Allowance	0	0	0	0	0	0	0	17,408	0	0	17,408
Safety and Risk Management	0	21,780	0	0	0	0	0	0	0	0	21,780
Steen Hall 17	0	0	0	0	0	0	0	2,797,845	0	0	2,797,845
Student Center Administration	0	298,800	160,006	125,000	0	0	0	75,922	0	0	659,728
Student Center Operations	0	0	37,815	0	0	0	0	0	0	0	37,815
Student Center Operations	0	0	0	0	0	0	0	580,000	0	0	580,000
Student Center R & R	0	0	0	0	0	0	0	100,000	0	0	100,000
Student Life	0	105,541	33,372	3,825	0	0	0	22,160	0	0	164,898
Student Publications	0	0	0	13,664	0	0	0	82,535	0	0	96,199
Testing Services	0	57,962	75,959	18,000	0	0	0	21,420	0	0	173,341
Title IX Compliance	0	50,000	0	0	0	0	0	0	0	0	50,000
Treasury & Student Business Svcs	0	52,080	0	0	0	0	0	0	0	0	52,080
University Police Department	0	216,110	1,033,801	29,000	0	14,140	0	367,816	0	0	1,660,867
University Revenues	0	0	0	0	0	0	0	1,795,813	0	0	1,795,813
Utilities	0	0	0	0	0	0	0	2,916,432	0	0	2,916,432
VP Finance & Administration	0	7,660	0	0	0	0	0	0	0	0	7,660
VP Student Affairs	0	146,360	0	0	0	0	0	100,000	0	0	246,360
VP for University Advancement	0	0	0	0	0	0	0	10,000	0	0	10,000
Veterans Resource Center	0	0	0	0	0	0	0	3,500	0	0	3,500
*TOTAL 172 Pledged Auxiliary	0	2,919,691	2,991,990	907,792	108,466	14,140	3,737,303	29,100,064	25,000	0	39,804,446

Stephen F. Austin State University
Budget Summary - Restricted Funds
Fiscal Year 2022-23

Unit	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Benefits	Operations & Maintenance	Travel	TOTAL
Federal Financial Aid									
PELL FY2022							23,000,000		23,000,000
SEOG FY2022							430,577		430,577
TEACH GRANT							410,000		410,000
Work-Study FY2022				586,000					586,000
Total Financial Aid				586,000			23,840,577		24,426,577
Charter School		1,035,049	400,177			537,343	526,109		2,498,678
Grants and Contracts							3,000,000		3,000,000
Gifts and Donations		422,213	211,507		9,866	190,116	5,564,255	10,000	6,407,957
Total Restricted Funds		1,457,262	611,684	586,000	9,866	727,459	32,930,941	10,000	36,333,212

ADOPTION OF THE FISCAL YEAR 2022-23 INSTITUTIONAL OPERATING BUDGET SUPPLEMENT FOR COMPENSATION

Explanation:

The Board of Regents Rules state, "The president shall prepare and submit annually to the board at its April or July meeting, as specified each year by the board, a proposed budget for the operation of the institution for the next fiscal period."

Administration proposed an institutional operating budget for fiscal year 2022-23 of $270,020,925. To support faculty and staff, the administration proposes a one-time use of fund balance/net position of $3,700,000 to supplement the fiscal year 2022-23 institutional operating budget and provide additional faculty and staff compensation.

Recommendation:

The administration recommends approval of a one-time use of fund balance/net position of $3,700,000 for additional faculty and staff compensation. With the supplement of $3,700,000, the fiscal year 2022-23 annual institutional operating budget totals $273,720,925.

Compensation

Administration proposes using $3.7 million of fund balance/net position to recognize our greatest resource – faculty and staff.

We estimate that SFA can use fund balance/net position and stay within its reserve goals for both the primary reserve ratio and the SACS calculation.

The compensation is a one time payment and does not carry forward in pay to FY 2024.

The compensation is not merit based.

The President is the final authority on all eligibility and compensation requirements.

Compensation

Eligibility

- Faculty and Staff funded from university funds (E&G, Auxiliary, Designated) are eligible
- Faculty and Staff employed in a full-time (1.0 FTE) position as of 04/01/22 and as of the payment date are eligible
- Faculty and Staff employed in a permanent budget part-time position as of 04/01/22 and as of the payment date are eligible
- Employees funded from Restricted Grant or Gift funds may be eligible if allowed by the Grant or Gift agreement, funding is available, and appropriately approved
- Employees with employment agreements containing retention payments or automatic salary escalators are not eligible
- Casual, temporary, adjunct faculty, and return to work after retirement employees are not eligible
- Full-time employees with permanently split positions totaling 1.0 FTE are eligible

Compensation

Calculation

- Compensation calculated on FY 2023 budgeted base salary (no stipends, supplements, or additional compensation included)
- For full-time eligible employees, 4% of base salary or $2,000 whichever is greater
- For part-time eligible employees, 4% of base salary for the FTE percent
- No retirement deduction as payment is considered a bonus under TRS requirements thus not eligible for retirement contribution
- Federal withholding rate of 22% is required by IRS regulations
- Standard Social Security tax of 6.2% and Medicare tax of 1.45% apply
- Calculation results in gross pay less withholding and deductions for net pay

Compensation

Payment

- Paid on a separate payroll on October 14, 2022

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:

EbenConcepts Company
Love Advertising, Inc.

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
July 25, 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: *EbenConcepts Company*

Description of Contract: Athletic excess insurance in accordance with RFP#ATH-INSURE-FY17 opened 5/26/2017. Original term from August 1, 2017 to August 1, 2018 with option to extend for four additional 1-year periods. Includes annual premium, claims and administration fees, and self-insured retention payment pool.

Vendor Awarded Contract: EbenConcepts Company

Procurement Method: Request for Proposal

Department Responsible for Contract: Athletics

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $479,000.00

Total Estimated Aggregate Amount: $2,127,496.47

Contract Period: 8/1/2017-7/31/2022

Board Approved: Exempt per Policy 1.4–Insurance negotiated or approved by the State Office of Risk Management

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254

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: $350,000.00

Total Estimated Aggregate Amount: $1,750,000.00

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

Board Approved: November 2021, May 2022

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254

Summary of Contracts

Stephen F. Austin State University

Summary of Contracts

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

Finance Committee -July 25, 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
PeopleAdmin update								
Athletic excess insurance in accordance with RFP#ATH-INSURE-FY17 opened 5/26/2017. Original term from August 1, 2017 to August 1, 2018 with option to extend for four additional 1-year periods. Includes annual premium, claims and administration fees, and self insured retention payment pool.	EbenConcepts Company	Request for Proposal	Athletics	None	$ 479,000.00	$ 2,127,496.47	8/1/2017-7/31/2022	Exempt per Policy 1.4-Insurance Negotiated or approved by the State office of Risk Management
Digital advertising services in accordance with RFP#Media Buy-21, opened 10/6/2021, and agreement dated 01/03/2022. Subsequent amendment executed 6/15/22 for $100,000 per year for up to four additional periods at option of SFA to allow other departments on campus to utilize current contract for digital advertising needs.	Love Advertising, Inc.	Request for Proposal	UMC	None	$ 350,000.00	$ 1,750,000.00	1/03/2022 - 1/02/2027	November 2021, May 2022

GRANT AWARDS

Explanation:

For fiscal year 2022, the multi-year grant award total is currently $82,279,669. Of this total, grant awards allocable to fiscal year 2022 are currently $28,629,387, an increase of $509,457 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 $509,457. The grant awards are detailed as presented.

Report to the Board of Regents – July 2022
Grants[1] awarded between and March 15, 2022 and June 30, 2022

Fiscal Year 2022 – *as of June 30, 2022*

Amounts allocable to FY22 (detailed in this report)	
Federal funds (direct and pass-through)	$ 300,000
State Funds (direct and pass-through)	$ 121,457
Private and Local Government	$ 88,000
TOTAL	**$ 509,457**
New awards, FY22 (detailed in this report, all project years)	**$ 648,085**
Cumulative amount allocable to FY22	**$ 28,629,387**
Cumulative award total FY22, all project years	**$ 82,279,669**
Federal Financial Aid Funds *(not included in ORGS totals)*	*$ 15,300,163*

Federal Financial Aid Funds ***(not included in ORGS totals)***

Agency: Department of Education
Manager*:* Rachele Garrett, Financial Aid

SEOG	FY23 Funds	$ 430,577
FWS	FY23 Funds	$ 586,747
Direct Loans	FY23 Funds	$14,282,839

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

Federal Funds (direct and pass-throughs)

Title **** Texas Transfer Grant***
Sponsor: THECB, Governors Emergency Education Relief Fund through from US Department of Education
Award Term: April 11, 2022 to October 10, 2022
PI/PD: Rachele' Garrett, Financial Aid
Total Award: $200,000 **Amount Allocable to FY22**: $200,000
Student aid for select students vertically transferring to SFASU.

**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 – July 2022
Grants[1] awarded between and March 15, 2022 and June 30, 2022

Title **** SFA Summer STEM Camps FY22 – Investigations in Math and Science (iMAS) Academy***
Sponsor: Texas Workforce Commission (prime - US Department of Health and Human Services)
Award Term: March 14, 2022 to August 31, 2022
PI/PD: Dr. Jana Redfield, STEM Center
Total Award: $100,000 **Amount Allocable to FY22**: $100,000
Funds will provide summer camps with hands-on learning activities, field work opportunities, and industry field trips. The goal is to help increase the number of students interested in STEM careers.

***Subtotal Federal Amounts Allocable to* FY22 *(this report)* = $ 300,000**
***Subtotal New Federal Awards* (*total award*) = $ 300,000**

State Funds (direct and pass-through)

Title **** Population Assessment of Smalleye and Sharpone Shiners in the Brazos River***
Sponsor: University of North Texas (prime - Texas Comptroller of Public Accounts)
Award Term: February 4, 2022 to December 31, 2022
PI/PD: Dr. Carmen Montana-Schalk, Biology
Total Award: $97,911 **Amount Allocable to FY22**: $26,453
Research project to study federally endangered species populations in the Brazos River.

Title **** East Texas Adventurers Girls Environmental Science Academy***
Sponsor: Texas Parks and Wildlife
Award Term: March 1 2022 to September 1, 2023
PI/PD: Dr. Tonya Jeffery, Education Studies
Total Award: $57,674 **Amount Allocable to FY22**: $28,837
Science academy for 6th to 8th grade female students to provide transformational experiences to youth in rural east Texas.

Previously Described Awards:
2021-2023 ESSER Supplemental Grant Program
Lysa Hagan, Charter School
Award Total: $135,042 **Amount allocable to FY22:** $66,167

***Subtotal State Amounts Allocable to* FY22 *(this report)* = $121,457**
***Subtotal New State Awards (total award)* = $290,627**

**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 – July 2022
Grants[1] awarded between and March 15, 2022 and June 30, 2022

Private Entity and Local Government Awards

Title **** Early Childhood Brain Development***
Sponsor: Angelina County & Cities Health District
Award Term: May 1, 2022 to August 31, 2022
PI/PD: Dr. Emmerentie Oliphant, School of Social Work
Total Award: $142,500 **Amount Allocable to FY22**: $38,000
Research project to develop an Early Childhood Brain Development growth strategic plan and form a community coalition for implementation for Angelina County.

Previously Described Awards:
****Department Research Grant: Basic Chemical Research, FY22-25***
Dr. Odutayo Odunuga, Chemistry
Award Total: $150,000 ***Amount allocable to FY22:** $50,000

***Subtotal Private and Local Amounts Allocable to* FY22 *(this report)* = $ 88,000**
***Subtotal New Private and Local Awards (total award)* = $292,500**

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

**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.

TEXPOOL RESOLUTION AMENDING AUTHORIZED REPRESENTATIVES

Explanation:

The university uses TexPool as an investment entity for public fund investments. As a result of university administrative changes, a resolution is necessary to amend authorized institutional representatives. A resolution is presented that revises university authorized investment signatories.

Recommendation:

The administration recommends approval of the TexPool Resolution Amending Authorized Representatives.

Resolution Amending Authorized Representatives

Please complete this form to amend or designate Authorized Representatives. *This document supersedes all prior Authorized Representative forms.*

*** Required Fields**

1. Resolution

WHEREAS,

Stephen F. Austin State University — Participant Name*

7 8 0 5 0 — Location Number*

("**Participant**") is a local government of the State of Texas and is empowered to delegate to a public funds investment pool the authority to invest funds and to act as custodian of investments purchased with local investment funds; and

WHEREAS, it is in the best interest of the Participant to invest local funds in investments that provide for the preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act; and

WHEREAS, the Texas Local Government Investment Pool ("**TexPool / Texpool Prime**"), a public funds investment pool, were created on behalf of entities whose investment objective in order of priority are preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act.

NOW THEREFORE, be it resolved as follows:

A. That the individuals, whose signatures appear in this Resolution, are Authorized Representatives of the Participant and are each hereby authorized to transmit funds for investment in TexPool / TexPool Prime and are each further authorized to withdraw funds from time to time, to issue letters of instruction, and to take all other actions deemed necessary or appropriate for the investment of local funds.

B. That an Authorized Representative of the Participant may be deleted by a written instrument signed by two remaining Authorized Representatives provided that the deleted Authorized Representative (1) is assigned job duties that no longer require access to the Participant's TexPool / TexPool Prime account or (2) is no longer employed by the Participant; and

C. That the Participant may by Amending Resolution signed by the Participant add an Authorized Representative provided the additional Authorized Representative is an officer, employee, or agent of the Participant;

List the Authorized Representative(s) of the Participant. Any new individuals will be issued personal identification numbers to transact business with TexPool Participant Services.

1. Michaelyn Greene — Name; Director of Treasury & Student Business Services — Title
   9 3 6 4 6 8 3 0 0 5 — Phone; 9 3 6 4 6 8 7 0 2 7 — Fax; greenemf@sfasu.edu — Email
   Signature

2. Jacob Seamans — Name; Director of Financial Reporting — Title
   9 3 6 4 6 8 2 3 5 4 — Phone; 9 3 6 4 6 8 7 0 2 7 — Fax; seamansjacob@sfasu.edu — Email
   Signature

3. Steffany Newsome — Name; Assistant Director of Financial Reporting — Title
   9 3 6 4 6 8 2 7 2 2 — Phone; 9 3 6 4 6 8 7 0 2 7 — Fax; newsomess@sfasu.edu — Email
   Signature

Form Continues on Next Page

Resolution Amending Authorized Representatives

Please complete this form to amend or designate Authorized Representatives. *This document supersedes all prior Authorized Representative forms.*

*** Required Fields**

1. Resolution

WHEREAS,

Stephen F. Austin State University — Participant Name*

7 8 0 5 0 — Location Number*

("**Participant**") is a local government of the State of Texas and is empowered to delegate to a public funds investment pool the authority to invest funds and to act as custodian of investments purchased with local investment funds; and

WHEREAS, it is in the best interest of the Participant to invest local funds in investments that provide for the preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act; and

WHEREAS, the Texas Local Government Investment Pool ("**TexPool / Texpool Prime**"), a public funds investment pool, were created on behalf of entities whose investment objective in order of priority are preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act.

NOW THEREFORE, be it resolved as follows:

A. That the individuals, whose signatures appear in this Resolution, are Authorized Representatives of the Participant and are each hereby authorized to transmit funds for investment in TexPool / TexPool Prime and are each further authorized to withdraw funds from time to time, to issue letters of instruction, and to take all other actions deemed necessary or appropriate for the investment of local funds.

B. That an Authorized Representative of the Participant may be deleted by a written instrument signed by two remaining Authorized Representatives provided that the deleted Authorized Representative (1) is assigned job duties that no longer require access to the Participant's TexPool / TexPool Prime account or (2) is no longer employed by the Participant; and

C. That the Participant may by Amending Resolution signed by the Participant add an Authorized Representative provided the additional Authorized Representative is an officer, employee, or agent of the Participant;

List the Authorized Representative(s) of the Participant. Any new individuals will be issued personal identification numbers to transact business with TexPool Participant Services.

1. Steve Westbrook — Name; Interim President — Title
   9 3 6 4 6 8 2 2 0 1 — Phone; 9 3 6 4 6 8 2 2 0 2 — Fax; swestbrook@sfasu.edu — Email
   Signature

2. Gina Oglesbee — Name; Vice President for Finance and Administration — Title
   9 3 6 4 6 8 2 3 5 0 — Phone; 9 3 6 4 6 8 7 0 2 7 — Fax; oglesbeegs@sfasu.edu — Email
   Signature

3. Judith Kruwell — Name; Associate VP for Finance and Administration — Title
   9 3 6 4 6 8 4 5 4 1 — Phone; 9 3 6 4 6 8 7 0 2 7 — Fax; kruwelljf@sfasu.edu — Email
   Signature

Form Continues on Next Page

1. Resolution (continued)

4. Hillary Parrish
Name

Treasury Analyst
Title

9 3 6 4 6 8 4 2 9 0
Phone

9 3 6 4 6 8 7 2 1 3
Fax

hparrish@sfasu.edu
Email

Signature

List the name of the Authorized Representative listed above that will have primary responsibility for performing transactions and receiving confirmations and monthly statements under the Participation Agreement.

Gina Oglesbee
Name

In addition and at the option of the Participant, one additional Authorized Representative can be designated to perform only inquiry of selected information. *This limited representative cannot perform transactions.* If the Participant desires to designate a representative with inquiry rights only, complete the following information.

Amy Mooneyham
Name

Assistant Director of Student Business Services
Title

9 3 6 4 6 8 2 1 1 5
Phone

9 3 6 4 6 8 7 2 1 3
Fax

ammooneyham@sfasu.edu
Email

D. That this Resolution and its authorization shall continue in full force and effect until amended or revoked by the Participant, and until TexPool Participant Services receives a copy of any such amendment or revocation. This Resolution is hereby introduced and adopted by the Participant at its regular/special meeting held on the 2 6 day of July , 2 0 2 2 .

Note: Document is to be signed by your Board President, Mayor or County Judge and attested by your Board Secretary, City Secretary or County Clerk.

Name of Participant*

SIGNED

Signature*

Karen G. Gantt
Printed Name*

Board of Regents Chair
Title*

ATTEST

Signature*

Jennifer Winston
Printed Name*

Board of Regents Secretary
Title*

2. Delivery Instructions

Please return this document to **TexPool Participant Services**:

Email: texpool@dstsystems.com

Fax: 866-839-3291

1-866-TEXPOOL (839-7665) • TexPool.com
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G45340-17 (3/22)

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VENDING SERVICES PROVIDER

Explanation:

Vending services for snack foods on the SFA campus has been out-sourced to Accent Vending since May 2003. SFA exercised the termination clause in Section 7.1.2. of the Vending Services Agreement with an effective termination date of August 31, 2022.

A request for proposals for vending services was issued on April 19, 2022. The five-member evaluation committee reviewed three written proposal responses and participated in presentations by each respondent. An evaluation of the three responses and presentations to this request determined that the proposal submitted by *Gilly Vending, Inc.* provides the best combination of value and service for the university.

The anticipated gross sales are expected to exceed $100,000 annually with a 24% commission of gross sales due to SFA with a minimum guarantee of $35,000 annually.

Recommendation:

The administration recommends the selection of *Gilly Vending, Inc.* as the vending services provider for a five-year term commencing September 1, 2022 through August 31, 2027 and thereafter with an option to extend for an additional 5-year period. The administration further recommends authorization for the president to sign associated contracts in accordance with policy 1.4, Items Requiring Board of Regents Approval.

NETSYNC NETWORK SOLUTIONS CONTRACT – WIRELESS ACCESS POINTS

Explanation:

At its May 2022 meeting, the Board of Regents, in Board Order 22-50, approved funding for renewing the university's institutional license with Cisco for both the use of, and the software support for, our campus wireless network for a five-year period for a total of $1,668,825.

Since state law requires that the Board of Regents approve contracts with a value of more than $1 million, this item to specify the vendor whose contract value will exceed this threshold is presented in order to comply with this requirement. To clarify, there is no additional spending authority in this item, only the designation of the vendor being contracted with.

The vendor contract recommended for approval is from Netsync Network Solutions for a cost not to exceed $1,668,825. This vendor contract is quoted from the Texas Department of Information Resources (DIR) state contract for Cisco systems.

Recommendation:

The administration recommends approval of the Netsync Network Solutions contract for the purchase of a licensing agreement for wireless access points for a five-year period at a cost not to exceed $1,668,825. Auxiliary funds and Higher Education Funds will be used for this purchase. The administration further recommends that the president be authorized to sign all purchase orders and contracts as necessary, in accordance with policy 1.4, Items Requiring Board of Regents Approval.

NETSYNC NETWORK SOLUTIONS CONTRACT – SWITCH SUPPORT

Explanation:

At its April 2022 meeting, in Board Order 22-47, the Board approved upgrading the on-campus residential wireless network at a cost not to exceed $3,200,000. The purchase of certain network hardware, including switch support and licensing for five years associated with this project from one of the vendors, will exceed $1 million. Since state law requires that the Board of Regents approve contracts with a value of more than $1 million, this item to specify the vendor whose contract value will exceed this threshold is presented in order to comply with this requirement. To clarify, there is no additional spending authority in this item, only the designation of the vendor being contracted with.

The vendor contract recommended for approval is with Netsync Network Solutions with a value of $1,913,290.10. This contract is quoted from the Texas Department of Information Resources (DIR) state contract for Cisco systems.

Recommendation:

The administration recommends approval of the Netsync Network Solutions contract for the purchase of network hardware including switch support and licensing for five years to support the residential wireless network at a cost of $1,913,290.10. Auxiliary funds will be used for this purchase. The administration further recommends that the president be authorized to sign all purchase orders and contracts as necessary, in accordance with policy 1.4, Items Requiring Board of Regents Approval.

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:

Agency Funds 3.1
Compliance 2.12
Discretionary Use of University Funds 3.10
Gifts, Loans, Endowments and Bequests 3.17
Interdepartmental Transfer (IDT) 17.9
Items Requiring Board of Regents Approval 1.4
Lumberjack Education Assistance Policy 12.5
Tuition Set-Aside Funds Programs 3.33*
Vendor Protests 16.36

*Note: New Policy

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Agency Funds

Policy Number: 3.1

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: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy describes the processes for establishing and administering agency funds held by 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, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Agency Funds

Original Implementation: January 20, 1998
Last Revision: July *26~~23~~*, 202*2~~19~~*

Purpose

This policy describes the processes for establishing and administering agency funds held by the university.

Definition

Agency funds - ~~are~~ funds held by the university as custodian or fiscal agent for the benefit of institutionally associated groups or entities that support or enhance the mission of the university.

General

Agency funds are deposited with the university for safekeeping and can be used or withdrawn by the agency fund's authorized representatives at will. All agency funds must be related to the mission of the university. There should be a mutual benefit in having the university act as fiscal agent for the funds. The university, at its sole discretion, will determine whether or not to establish an agency fund or to terminate an existing agency fund.

Examples of agency funds include but are not limited to:

- Employee, student, or alumni organizations or clubs sanctioned by the university;
- Conferences offered by an outside organization and administered by the university;
- Scholarships and loans where the recipients are chosen by an external agency and the funding is given to the university to distribute.

The university reserves the right to commingle agency funds with university funds, which may be deposited in financial institutions approved by the Board of Regents as university depositories. Agency funds will not earn interest or be assessed administrative fees, except for identifiable bank charges directly related to a specific agency fund. Agency funds deposited in financial institutions will be managed at the same level of safekeeping as university funds. Should authorized representatives of an agency fund wish to conduct an independent audit, they may do so by obtaining their own auditor at their own expense.

The agency fund and its authorized representatives must adhere to applicable federal, state, and local laws. Agency funds are subject to review by university and state officials as well as anyone

legally authorized to do so.

Agency Fund Establishment and Disbursements

A request to establish an agency fund is made using procedural guidelines in the ~~controller's~~ office *of financial reporting*. Receipts deposited to agency funds are not considered gifts to the university.

Disbursements from an agency fund are guided by procedures established by and published on the *office of financial reporting's*~~controller's~~ website.

Negative Balances in Agency Fund Prohibited

Agency funds are not permitted to carry negative balances. Therefore, the university may assess a $25 institutional fine each month an agency fund has a negative balance. Requests for a disbursement from an agency fund will not be processed if the agency fund has a negative balance.

Transfers

Transfers between agency funds and other fund groups are prohibited. Agency funds may be assessed charges from another fund through an interdepartmental transfer provided the agency account representatives agree to the assessed charges.

Dormant Agency Funds

Agency funds that have not had any activity in three years will be closed after efforts to contact the agency account representatives have been made. In instances where there is a legitimate claim to an outstanding balance of the agency fund after it has been closed, the agency fund's authorized representative should contact the ~~controller's~~ office *of financial reporting* to have the university reinstate those funds back into the agency fund and release it to the appropriate representative.

Cross References: Establishing a New Departmental Account: Fund–Organization–Program (FOP) (3.12); ~~Purchase Voucher~~*Direct Pay Disbursements* (17.20)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: *Director of Financial Reporting* ~~Controller~~

Forms: Request to Establish an Agency Account; Purchase Voucher; Request for Disbursement from an Agency Fund

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Compliance

Policy Number: 2.12

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

Date of last revision, if applicable: 11/1/2021

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Policy describes and implements the university's compliance program.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Updates to committee member listings.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Compliance Coordinating Committee
Executive Oversight Compliance Committee
Damon Derrick, General Counsel

Compliance

Original Implementation: July 26, 2016
Last Revision: ~~November 1, 2021~~*July 26, 2022*

INTRODUCTION

This policy sets forth the rules governing the creation, implementation, and periodic evaluation of an institutional compliance program for the university. The program is designed to provide a framework for promoting an organizational culture that: (1) promotes a commitment to ensure the highest level of compliance with all applicable laws and regulations, institutional policies, procedures and other rules governing higher education, including research and health care to the extent applicable and (2) prevents and detects criminal conduct or other conduct inconsistent with an effective compliance program.

DEFINITIONS

A. University - Stephen F. Austin State University (SFA) and all of its components, regardless of the source of funding.
B. Employee - All persons receiving compensation from the university, including faculty, staff, and students. The term also includes any volunteer who provides services to the university through an official arrangement with the university or a university organization.
C. Substantial authority personnel - high-level personnel or individuals who exercise substantial discretion when acting within the scope of their authority.

COMMITTEES

SFA utilizes two committees: Executive Oversight Compliance Committee and Compliance Coordinating Committee.

EXECUTIVE OVERSIGHT COMPLIANCE COMMITTEE

The Executive Oversight Compliance Committee's primary function is to direct policy and instill the importance of compliance in the university community. This committee monitors progress on key compliance initiatives, reviews updates on compliance developments and best practices, and allocates resources as necessary to achieve the compliance program goals. Its members consist of:

1. President
2. Provost and Executive Vice President for Academic Affairs
3. Vice President of Student Affairs
4. Vice President for Finance and Administration
5. Vice President for University Advancement
6. Director of Governmental Relations
7. Executive Director of Enrollment Management

8. Chief Diversity Officer
9. Chief Information Officer
10. Director of Intercollegiate Athletics
11. Chief Marketing Communications Officer
12. Chief Audit Executive (advisory)
13. General Counsel

In exercising its overall responsibility for the university's compliance program, the Executive Oversight Compliance Committee shall be regularly briefed by the chair of the Compliance Coordinating Committee about the content and operation of the program, and also when criminal conduct is discovered.

The Executive Oversight Compliance Committee shall take reasonable steps to:

1. Not include within the substantial authority any individual who has engaged in illegal activities or other conduct inconsistent with an effective compliance program.
2. Communicate periodically and in a practical manner the standards and procedures of the compliance program by conducting effective training programs and otherwise disseminating information appropriate to the respective roles and responsibilities of the entire university community involved in the compliance program. Such training may include informal staff meetings, and monitoring through regular "walk-arounds" or continuous observation while managing a designated compliance area.
3. Ensure that the compliance program is followed including monitoring and auditing to detect illegal activities or other conduct inconsistent with an effective compliance program.
4. Have and publicize a system, which may include mechanisms that allow for anonymity or confidentiality, whereby university employees and agents may report or seek guidance regarding potential or actual criminal conduct or other conduct inconsistent with an effective compliance program without fear of retaliation.
5. Consistently promote and enforce the compliance program throughout the university through appropriate incentives for performing in accordance with the program, and appropriate disciplinary measures for engaging in criminal conduct or other conduct inconsistent with an effective compliance program and for failing to take reasonable steps to prevent or detect such conduct.
6. Respond appropriately after criminal conduct or other conduct inconsistent with an effective compliance program has been detected, including making any necessary modifications to the compliance program to prevent further similar conduct.
7. Assess the risk of criminal conduct or other conduct inconsistent with an effective compliance program and take appropriate action to design, implement, or modify the program to reduce the risk of such conduct identified through this process at least annually.

COMPLIANCE COORDINATING COMMITTEE

The Compliance Coordinating Committee's primary function is to oversee the implementation of the compliance program throughout the university. This committee disseminates information about compliance updates and activities to the responsible parties and keeps those individuals updated on any changes in laws or regulations and makes recommendations to the Executive Oversight Compliance Committee. Its members consist of:

1. General Counsel (Chair)
2. Chief Audit Executive (Advisory)
3. Assistant General Counsels
4. Coordinator of Board Affairs/Compliance
5. Assistant Athletic Director for Compliance
6. ~~Controller~~*Director of Financial Reporting*
7. Director of Procurement and ~~Property~~ *Business* Services
8. Director of Human Resources
9. Director of Environmental Health, Safety, and Risk Management
10. Deputy Chief Information Officer
11. Chief of Police
12. Registrar
13. *Assistant* Director of Financial Aid
14. Compliance Coordinator - Research
15. Chair of the Chairs Forum
16. Chair of the Academic Affairs Policy Committee
17. ~~Executive Director of Development~~
~~18.~~*17.* Assistant Vice President of Student Affairs and Dean of Students
~~19.~~*18.* Title IX Coordinator
~~20.~~*19.* ADA Coordinator
~~21.~~*20.* ~~Associate Director of~~ Admissions *Program Director*
~~22.~~*21.* Associate Vice President for Finance and Administration

The Compliance Coordinating Committee shall be provided adequate resources and appropriate authority to carry out its duties and responsibilities.

A. The General Counsel shall chair the Compliance Coordinating Committee and shall regularly brief the Executive Oversight Compliance Committee and the Board of Regents about the content and operation of the university's compliance program, and also when criminal conduct is discovered.
B. The Compliance Coordinating Committee will utilize a Compliance Matrix to assist the responsible committee members in carrying out their duties. The matrix is designed to further the coordination and documentation efforts of existing and ongoing compliance initiatives and is broken down into different compliance areas assigned to the committee member responsible for ensuring compliance, representative issues associated with the compliance area as well as the applicable laws.
C. The Compliance Coordinating Committee, through its members, shall assist the Executive Oversight Compliance Committee in training the university community which may include informal staff meetings, and monitoring through regular "walk-arounds" or continuous observation while managing a designated compliance area.

D. The Compliance Coordinating Committee is responsible for creating and maintaining a compliance web page on the university's website. At a minimum the web page will include the Compliance Matrix, Compliance Coordinating Committee members, and instructions on how to anonymously and confidentially report suspected fraud or other criminal conduct or conduct inconsistent with an effective compliance program without fear of retaliation.
E. The Compliance Coordinating Committee is responsible for implementing and operating a risk-based process that:
    1. builds compliance consciousness into daily business processes,
    2. monitors the effectiveness of the processes, and
    3. communicates instances of non-compliance to appropriate administrative officers for action.

DEPARTMENT HEAD RESPONSIBILITY

The department head of each operating unit within the university is responsible and shall be held accountable for compliance and compliance-related activities in their respective units. The department head shall maintain documented procedures and records for their activities and areas of responsibility.

PRESIDENT'S CABINET RESPONSIBILITY

Each president's cabinet member is responsible and shall be held accountable for compliance and compliance-related activities in their area of responsibility and will be required to certify compliance at least annually. The Dean of the Office of Research and Graduate Studies will oversee the certification of compliance assurances.

PRESIDENT AND CABINET MEMBERS RESPONSIBILITY

The president and cabinet members are responsible and shall be held accountable for:
1. the sufficiency of resources allocated to compliance activities, and
2. the appropriateness of corrective and disciplinary action taken in the event of noncompliance.

AUDIT SERVICES RESPONSIBILITY

Audit Services may provide advisory or audit services, as necessary and appropriate, to the compliance operations. The chief audit executive is responsible and shall be held accountable for:
1. independently evaluating the design and effectiveness of the various compliance functions as included on the annual audit plan,
2. making recommendations for improvements, as necessary and appropriate, and
3. reporting recommendations to the Board of Regents Finance and Audit Committee and the president.

EMPLOYEE RESPONSIBILITY

Each employee of the university shall be responsible for establishing an organizational culture that encourages compliance with its legal obligations, complying with all applicable federal and state laws and university policies and procedures, meeting and complying with any reporting requirements required by law, and complying with the mandates and standards in this policy.

REPORTING STRUCTURE

The reporting obligations set forth below are to fulfill the purposes of this policy, to enable the university to do a risk assessment to determine if additional resources should be allocated, and to assist the university to respond as needed. These requirements do not replace, change or modify applicable reporting requirements or any other action required of the university under federal or state laws or regulations.

The general counsel and chief audit executive shall report to the Executive Oversight Compliance Committee the workings of the Compliance Coordinating Committee, including agenda items, member concerns, and recommended changes in policies or procedures.

The chair of the Compliance Coordinating Committee shall promptly report to the Executive Oversight Compliance Committee any suspected compliance violation that has caused or poses an imminent risk of injury or harm to persons, property or the surrounding community, or reputational harm, as soon as possible after discovering or receiving the report of the suspected violation.

The general counsel and chief audit executive are responsible to:

1. conduct a compliance program investigation or monitor the investigation conducted by an appropriate operating unit of the suspected violation(s), and
2. as appropriate, make findings and recommendations to the chair of the Board of Regents, chair of the Finance and Audit Committee, and the president.

Cross Reference: U.S. Federal Sentencing Guidelines; Fraud (2.7)

Responsible for Implementation: President

Contact for Revision: General Counsel

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Discretionary Use of University Funds

Policy Number: 3.10

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 that only certain funds can be used for discretionary purposes and provides guidance on how to identify such 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 <u>each</u> substantive revision: Minor changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Discretionary Use of University Funds

Original Implementation: April 23, 2013
Last Revision: ~~April 30, 2019~~ *July 26, 2022*

Purpose

This policy establishes that only certain funds can be used for discretionary purposes~~,~~ and provides guidance on how to identify such funds.

General

Stephen F. Austin State University receives funds from a variety of sources, including state appropriations, tuition and fees, auxiliary revenues, departmental sales and services, grants, and gifts. Most of the funds received are for specific, limited purposes or are subject to restrictions by the Board of Regents, state and federal legislation, and rules of other oversight agencies. Regardless of type, the university uses all funds in a manner consistent with applicable federal and state laws and regulations, university policies, and other restrictions or designations.

Funds that are allowed for discretionary purchases must be used for a valid business purpose. Examples of valid business purposes include, but are not limited to, certain types of business meals, administrative planning retreats, and business travel expenditures. Some examples of funds that may be used for discretionary purposes include discretionary donor gifts to departments, undesignated donations, funds from sales and services, and interest earned on certain institutional funds. Examples of university policies that restrict university expenditures to specific funds include, but are not limited to: Gifts, Prizes and Awards (3.18), Food Purchases (17.6), and Travel (3.29). The ~~controller's~~ office *of financial reporting's* website contains Guidelines for Expenditures from University Funds, Guidelines for Expenditures from University Funds - Summary Chart, and a list of funds that can be used for discretionary purposes.

Cross Reference: Gifts, Prizes and Awards (3.18); Food Purchases (17.6); Travel (3.29); Guidelines for Expenditures from University Funds; Guidelines for Expenditures from University Funds - Summary Chart; Policy 3.18 - Gifts, Prizes and Awards - Summary Chart; Funds that can be used for Discretionary Purposes.

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: ~~Controller~~ *Director of Financial Reporting*, Budget Director

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Gifts, Loans, Endowments, and Bequests

Policy Number: 3.17

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

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

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

Purpose of Policy (what does it do): Guidelines for soliciting, accepting, acknowledging and using gifts, endowments and bequests made to the university.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Addition of library gift information from policy 4.11.3 that is to be deleted and moved to Steen Library Procedure Manual.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Vice President for Academic Affairs
Jill Still, Vice President for University Advancement
Damon Derrick, General Counsel

Gifts, Loans, Endowments, and Bequests

Original Implementation: July 18, 1981
Last Revision: ~~January 28, 2020~~*July 26, 2022*

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

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

1. A gift, loan, endowment or bequest which may require commitment of funds, personnel, space or other resources shall be approved by the president prior to any commitment or action on behalf of the university.

2. The university is authorized, with prior approval of the president and ratification by the Board of Regents, to accept gifts or devises of real property for the establishment of scholarships, professorships and other trusts for educational purposes provided such property will not require appropriations by the legislature for operation, maintenance, repair or construction of buildings.

3. Privacy of donor identity may be granted by the university with the exceptions noted by the Public Information Act or the Internal Revenue Service when public recognition is not desired by the donor.

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

The Office of Development is the primary source of contact with non-university personnel or entities for development-related purposes, including but not limited to stewardship and solicitation of funds. No individual or company may be solicited for any gift, loan, endowment, or bequest by any member of the faculty or staff of the university until that individual has presented the Office of Development with a copy of the proposal or request for funds and has received approval thereof.

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

Solicitation of Gifts

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

1. All university departments, including faculty, staff, students, student organizations (as per policy 10.9, Student Organization Formation and Recognition) and affiliated 501(c)(3) entities are responsible for coordinating and clearing all fundraising projects funded by individuals, foundations and corporations in advance of the fundraising projects in writing. All fundraising projects shall comply with SFA policies and procedures, as well as federal and state laws.

2. If any faculty member, staff member, student or student organization receives any unsolicited question from a prospective donor regarding a possible gift to the university or the Stephen F. Austin State University Foundation, Inc., the Office of Development should be notified of the inquiry as soon as possible following the initial contact.

Acknowledgment of Gifts

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

1. All offices are responsible for forwarding any gifts received to the Office of Development for receipting and reporting purposes or to the bursar’s office (as per policy 3.16, Gift Reporting). This will ensure accurate recording of all support for the university, fulfill the receipting requirements of the Internal Revenue Service, and properly acknowledge that support. Further, all gifts and any accompanying correspondence, instructions, etc., are to be forwarded to the Office of Development for processing. Gifts-in-kind such as equipment, furniture and art objects are to be reported in writing to the Office of Development via the Gifts-in-kind form.

2. Any written statement concerning tax deductibility of contributions must be reviewed and approved by the Office of Development.

Use of Gifts, Loans, Endowments and Bequests

Gifts, loans, endowments and bequests made to Stephen F. Austin State University shall be used for the purpose designated by the donor. If a purpose is not specified by the donor, and the amount of the gift is $500,000 or more, utilization shall be as directed by the Board of Regents after

consideration of recommendations by the president and the vice president for development. If a purpose is not designated, and the amount of the gift is less than $500,000, utilization shall be as directed and approved by the president of the university.

Gifts received by the university and made payable to the Stephen F. Austin State University Foundation, Incorporated, should be forwarded to the Office of Development for transfer and deposit to the foundation. No gifts or bequests to the university may be transferred to the Stephen F. Austin State University Foundation, Inc. or the Stephen F. Austin State University Alumni Association, Inc. without petitioning a court of competent jurisdiction, as outlined under state law. Funds gifted to the university for a restricted purpose are considered a charitable trust. Legal title to such funds cannot be transferred to other entities, except as noted above.

Under the authority of the Board of Regents, the vice president for finance and administration of Stephen F. Austin State University is empowered to negotiate and execute the sale of marketable securities donated to the university when such sale is directed or allowed by the donor of said securities. The proceeds of such sale shall be promptly deposited into a university account, to be used as indicated by the donor. All in-kind gifts of $500,000or more and all real estate gifts (excluding gifts managed by the SFA Real Estate Foundation) would require specific approval by the Board of Regents for liquidation to a university cash account.

Restrictions on the expenditure of gift funds generally reside within the following three criteria:

1. A gift must be expended in accordance with the donor's wishes.
2. The expenditure of the gift funds must be for the demonstrable good of the university.
3. The expenditure must provide no private gain to either the donor or the person controlling the expenditure of the funds.

The use of gift funds must meet all three criteria collectively. Some specific examples of expenditures from unrestricted gifts that may be for the demonstrable good of the university, without private gain for the individual expending the funds, are as follows:

1. awards that recognize or promote faculty development, excellence in teaching, academic achievement, athletic achievement, scholarship, or service;
2. costs related to the promotion of the communication of intellectual ideas among students, faculty, staff and administrators of the university;
3. support of student events and activities sponsored by the university;
4. the recruitment of highly qualified students, faculty and staff;
5. costs related to the promotion of the exchange of ideas with community leaders regarding the role of the university and its programs in the community;
6. costs related to the conduct of accrediting agency visits, visits by other officials from other institutions or representatives outside higher education;
7. costs related to the support of continuing education activities.

Examples of expenditures which may not meet the criteria established are as follows:

1. any expenditure that violates the restriction placed on the gift by the donor;
2. the procurement of private property for the personal, unofficial use of any faculty or staff member;
3. donations or other payments to a political party;
4. any other expenditure expressly prohibited by law.

Questions concerning an expenditure meeting these criteria should be referred to the Office of Development.

Real or personal property acquired through gifts, loans, endowments or bequests is subject to the same management requirements as other state property. Disposal of any property acquired through gifts, loans, endowments or bequests shall be handled in accordance with state law and applicable university policies and procedures. Property acquired through gifts, loans, endowment or bequest cannot be disposed of, sold, or transferred without written permission from the Office of Development and the president.

Conflict of Interest

No employee of the university may accept any gift, loan, endowment, or bequest the purpose of which is to establish or be used, in whole or in part, as a salary supplement for him/herself.

Publicity

The Office of Development, in coordination with the faculty/staff contact person, the donor, and the Office of University Marketing Communications, is responsible for coordinating all publicity related to gifts.

Matching Gifts

Certain foundations and companies provide gifts to the university which match contributions made by their employees. For tax purposes, certification is required from the university that the gift of the employee has been received. The matching gift forms, which certify receipt of the gift, require the signature of the executive director or associate director of development.

Foundation Support

The Office of Development has the responsibility of performing certain support functions for the Stephen F. Austin State University Foundation, Inc. and the SFA Real Estate Foundation, Inc. This includes receiving, receipting, acknowledging, and reporting gifts received by either foundation, as provided in the Agreement between Stephen F. Austin State University and the Stephen F. Austin State University Foundation, Inc. and the Agreement between Stephen F.

Austin State University and the SFA Real Estate Foundation, Inc.

Library

Unrestricted gifts of books and other library related materials to Stephen F. Austin State University, not to include equipment such as tape recorders, etc., will not require the usual approval process as ~~authorized~~ *described* in this policy ~~(See Library Gifts, 4.11.3)~~.

The Ralph W. Steen Library is authorized to determine whether to accept a non-monetary gift on the basis of the needs of the collection, technical processing costs, physical condition, location and space, maintenance requirements, and donor restrictions. The library will determine the retention, cataloging treatment, and other considerations related to the use or disposition of donated materials.

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

The library will not appraise gifts. The cost of any appraisal of non-monetary gifts is the responsibility of the donor.

Definitions

1. Gift. A gift includes the gratuitous transfer of cash, cash equivalents such as securities and negotiable instruments, and real or personal property which generates income or may be sold for cash, for the purpose of enhancing the university and its programs, without expectation of specific benefit by the donor.
2. Loan. Real or personal property furnished for the temporary use of the university.
3. Endowment. An endowment is comprised of a gift, in which the donors have stipulated that the principal must be invested and only the income used to fund a project or need. The principal remains intact in perpetuity, thereby continuing to generate income to be used by the university. Endowment funds are classified into four different categories:
    a. Permanent Endowments. These endowments are sometimes referred to as "true" or "pure" endowments and are assets designated by the donor to be held in perpetuity. If specifically stated in writing by the donor, the corpus assets of this category of endowments may never be spent and income derived must be expended in accordance with the written terms and conditions established by the donor and the university. Otherwise, the governing board may appropriate for expenditure, for the uses and purposes for which the fund is established, the net appreciation, realized and unrealized, in the fair market value of the assets of an endowment fund over the historic dollar value of the fund to the extent allowed under the

University Management of Institutional Funds Act or other applicable law.

b. Term Endowment. In this category of endowments, the donor has specified that following a particular date or event, the assets of the endowment may be expended in accordance with the terms and conditions as specified. Until the passage of the specific date or event, this type of endowment will operate in a manner similar to the permanent endowment with the income used in accordance with the written terms and conditions established by the donor and the university.
c. Quasi-Endowments or Quasi-Funds. The Board of Regents may, with formal action, set aside certain institutional funds to be maintained as endowments. The formal action by the Board of Regents will specify the use of the assets and income derived, and set other terms and conditions relating to the fund. The Board of Regents may, with formal action, change the terms and conditions of the endowment including cessation of the endowment and the return of the assets to the original source of funding, or change the use or purpose as may be appropriate and authorized by law.
d. Funds Held in Trust by Others. Some donors may choose to make income from endowment-type funds available to the university, but will leave the possession of the assets in trust with a third party. In this case, the endowment is not recorded as an asset of the university. In accordance with the Generally Accepted Accounting Principles (GAAP), the existence of the trust must be disclosed in the notes to the university's financial statements.

Amounts associated with fundraising necessary for naming consideration are outlined in the university's Overview of Naming Guidelines and Procedures, available in the office of the vice president for university advancement.

Cross Reference: Tex. Educ. Code §§ 51.001-.009, 95.34, Ch. 101; Uniform Prudent Management of Institutional Funds Act, Tex. Prop. Code Ch. 163; Uniform Prudent Investor Act, Tex. Prop. Code Ch. 117; Texas Public Funds Investment Act, Tex. Gov't Code Ch. 2256; Gift Reporting (3.16); ~~Library Gifts (4.11.3);~~ Student Organization Formation and Recognition (10.9); Overview of Naming Guidelines and Procedures.

Responsible for Implementation: Vice President for University Advancement

Contact for Revision: Vice President for University Advancement

Forms: Gift-in-Kind Form

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Interdepartmental Transfer

Policy Number: 17.9

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

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

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

Purpose of Policy (what does it do): This policy defines and describes the appropriate usage of interdepartmental transfers.

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, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Interdepartmental Transfer (IDT)

Original Implementation: Unpublished
Last Revision: July *26*~~23~~, 202*2*~~19~~

Purpose

This policy defines and describes the appropriate usage of interdepartmental transfers.

Definition

~~An *I*~~interdepartmental transfer (IDT) - ~~is~~ used by a university department to pay for goods and services received from another department. With appropriate documentation, this process provides an internal mechanism to expense and credit university accounts in those exchanges.

General

The department providing the goods or services should initiate the IDT using the procedures established by the ~~controller's~~ office *of financial reporting* and the Interdepartmental Transfer Request form. The initiating department must retain copies of the documentation as required by Records Management (2.9). As with any other purchase, funds must be available in the applicable account.

An IDT is not to be used to shift balances or move budgets from one account to another. An IDT is not to be used to transfer capital equipment from one department to another. Such transfers are handled through *finance and administrative services*~~Procurement and Property Services~~. See Property Inventory and Management (17.14). However, if an exchange of funds is involved in the equipment transfer, an IDT may be used for the transaction.

Departments that initiate IDTs must develop written internal procedures that include:

- a segregation of duties in recording, reconciling, authorizing, and approving IDT transactions;
- IDT documentation, distribution, location, and retention responsibilities;
- a process to review accounts and verify IDT charges and credits.

Cross Reference: Records Management (2.9); Property Inventory and Management (17.14)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: *Director of Financial Reporting* ~~Controller~~

Forms: Interdepartmental Transfer Request available on the SFA Business Forms website

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Items Requiring Board of Regents Approval

Policy Number: 1.4

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

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

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): This policy establishes items and actions that require approval by the Board of Regents. It also specifies items and actions that do not require board approval.

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: Monetary values adjusted to match state law reporting standards, duplication removed that is listed in other policies, and revisions made for clarity.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Kay Johnson, Executive Director of Finance and Administrative Services
Gina Oglesbee, Vice President for Finance and Administration
Steve Westbrook, Interim President
Damon Derrick, General Counsel

Items Requiring Board of Regents Approval

Original Implementation: July 5, 1988
Last Revision: *July 26, 2022*~~July 23, 2019~~

Purpose

This policy establishes items and actions that require approval by the Board of Regents. ~~It also specifies items and actions that do not require board approval~~.

Definitions

Project budget - ~~For purposes state herein, "project budget" is~~ the total of all costs associated with a project.

Contract - a purchase order with or without additional documents including a quote, terms and conditions, agreement, etc.; a contract document outlining ~~all the~~ terms of the agreement and requiring signature. Examples include contracts that the ~~b~~Board of Regents approves, contracts that the president or designee signs, ordinary operating expenses issued by a purchase order, and revenue contracts.

A. Items That Require Approval by the Board of Regents

1. *Contracts with a total cost or value of $~~5~~1,000,000 or more~~.~~*
   All c~~Contract~~*s or agreements*~~s, purchases, or agreements~~ *with a total cost or value of* ~~in the amount of~~ ~~$5~~*1,0*00,000 or more, *unless exempted in Section B below. The total cost or value of the contract includes all potential contract documentation.* ~~and any contractamendment, extension, or renewal that causes the value of the original contract to exceed~~
   a. ~~$500,000, except those items that appear in Section B below~~
   Any amendment, extension, or renewal of a contract with a value that exceeds 25 percent of the value of the original contract previously ~~board~~ approved by the Board of Regents in accordance with Texas Education Code (TEC) 51.9337-(f).
   b. *Any amendment, extension, or renewal of a contract not previously required to be approved by the Board of Regents that cumulatively ~~exceeds~~total $~~5~~1,000,000.*
2. Annual operating budget
3. ~~*Increases in existing*~~ *Annual operating budget ~~s through a "budget adjustment"~~amendments, ~~if cumulatively over~~total $1,0~~5~~00,000, ~~except revolving funds~~*

–Long range master plans and strategic plans

~~1.~~*4.*

5. Construction/renovation projects if the estimated cost is $~~500~~*1,000,*000 or more, including:

a. *Total project budget~~,~~ and ~~including~~ adjustments that increase the total Board of Regents approved~~board approved~~ project budget~~.~~*

b. Selection of an architect/engineer~~.~~

c. Construction contract awards including Guaranteed Maximum Price~~.~~

i. Change orders that would increase the cost of the project beyond the amount of the Guaranteed Maximum Price. Board approval of change orders is~~would~~ not ~~be~~ required for budgeted construction contingencies within the Guaranteed Maximum Price.

~~*ii. Authority to submit all construction and/or renovation project proposals, real propertypurchases, and energy savings performance contracts to the Texas Higher Education Coordinating Board (THECB) that require THECB approval, or as otherwise required under law as defined by TEC Chapter 17.*~~

~~*iii.* For projects requiring T~~*(T*~~HECB~~*)* review, a final project close out report entailing a postcompletion evaluation of the project ~~*is required. Format of the report prescribed by the construction manual.*~~ that includes the following elements that must be reported to the Buildings and Grounds Committee: final project cost, summary ofchange orders, existence of any liquidated damages, final HUB participation percentages and total value, summary of approvals from any state or federal agencies having jurisdiction, survey summary of evaluation by end users, and summary of finalinspection punch list for items needing repair. A warranty inspection will be conducted and major warranty repairs summarized for review by the president and chair of the Buildings and Grounds Committee.~~

6. Authority to submit all construction and/or renovation project proposals, real property purchases, and energy savings performance contracts to the Texas Higher Education Coordinating Board (THECB) that require THECB approval, or as otherwise required under law ~~as defined by TEC Chapter 17~~.

~~*For projects requiring THECB review, a final project close out report entailing a post completion evaluation of the project is required. Format of the report prescribed by the construction manual.*~~

~~Delegations of administrative authority, including~~

~~Authority to approve travel~~

~~Authority to approve purchases~~

7. Purchase, sale, or exchange of real property

~~—~~Depository contracts

~~*8.* Food service (or similar) contracts, including changes in existing contracts~~

9. Contracts and agreements with support or development foundations

10. ~~Biennial legislative~~*Legislative appropriations* request*s*

~~b. Authority to submit all construction and/or renovation project proposals, real~~

~~propertypurchases, and energy savings performance contracts to the Texas Higher EducationCoordinating Board (THECB) that require THECB approval, or as otherwise requiredunder law.~~

~~c. Construction contract awards. The Guaranteed Maximum Price must be reported to the Buildings and Grounds Committee at the next possible meeting.~~

~~d. Approval of project budget.~~

~~e. Change orders that would increase the cost of the project beyond the amount of the Guaranteed Maximum Price. Board approval of change orders would not be requiredfor budgeted construction contingencies within the Guaranteed Maximum Price.~~

~~f.~~*a.* ~~For projects requiring THECB review, a final project close-out report entailing a postcompletion evaluation of the project that includes the following elements that must be reported to the Buildings and Grounds Committee: final project cost, summary ofchange orders, existence of any liquidated damages, final HUB participation percentages and total value, summary of approvals from any state or federal agencieshaving jurisdiction, survey summary of evaluation by end users, and summary of finalinspection punch list for items needing repair. A warranty inspection will be conducted and major warranty repairs summarized for review by the president and chair of the Buildings and Grounds Committee.~~

~~2.~~*11.* Actions relating to university employees, including

a. Appointment of full-time faculty
b. Faculty promotions
c. Awarding of faculty tenure
d. Appointment of full-time administrative/professional *(exempt)* staff ~~(exempt)~~ excluding those requiring student status
e. Change of position status of full-time faculty and administrative/professional (exempt) staff
f. Advisement on termination of full-time faculty and administrative/professional (exempt) staff (executive session only, does not require board action for approval)
g. Leaves of absence for faculty and administrative/professional (exempt) staff for one semester (four and one-half months) or more

12. Annual holiday schedule

~~3.~~*1.* ~~Delegations of administrative authority, including~~

~~a. Authority to approve travel~~

~~b.~~*a.* ~~Authority to approve purchases~~

~~4.~~*13.* Policy statements when the effect will be to change admission, probation, or suspension regulations; establish or alter policies, regulations, or rules relating to employment or property rights; govern the activities of the entire university or a major section of the university, such as rules for admission into teacher education or any

other major curriculum; change long standing and well accepted practices or patterns of behavior; or implement rules, regulations or activities established by external authorities

~~5.~~*1.* ~~Contracts, purchases, or agreements in the amount of $500,000 or more, and any contract amendment, extension, or renewal that causes the value of the original contract to exceed~~
~~$500,000, except those items that appear in Section B below~~

~~6.~~*14.* Any lease of any item (building, equipment, etc.) if the total cost of the lease is expected to be $500,000 or more without regard to the length of the lease period

~~7.~~*1.* ~~Purchase, sale or exchange of real property~~

~~8.~~*1.* ~~Depository contracts~~

~~9.~~*1.* ~~Food service (or similar) contracts, including changes in existing contracts~~

~~10.~~*1.* ~~Contracts and agreements with support or development foundations~~

~~11.~~*15.* Settlements, consent decrees, authority to enter into litigation (executive session only, does not require board action for approval)

~~12.~~*16.* Establishment (or change) of tuition, student fees, room and board fees, and all optional statutory tuition exemptions or waivers. Approval must be provided on no less than an annual basis, or when there is any change to the items listed.

~~13.~~*17.* Curriculum matters, including

a. Establishment or elimination of academic programs
b. Establishment or elimination of courses
c. Major changes in programs or courses

~~14.~~*18.* Designation of a name for university buildings, facilities, streets, etc.

~~15. Annual holiday schedule~~

~~16.~~*19.* Private, governmental, or foundation grants or agreements *of $1 million or more or if the grant commits the university more than five years.* ~~if the purpose of the grant, etc.is not designated ("president's discretion" constitutes a designation)~~

~~17.~~*1.* ~~Annual operating budget~~

~~18. Increases in existing budgets through a "budget adjustment" if over $500,000, exceptrevolving funds~~

~~19. Biennial legislative request~~

~~20. Long range master plans and strategic plans~~

B. *Exceptions*~~Items~~ That Do Not Require Approval by the Board of Regents

~~1. Construction or renovation projects under $500,000~~

~~2. Change orders under $500,000 as long as the approved budget is not exceeded~~

~~3. Appointment, change of status, promotion, termination of non-exempt employees~~

~~4. Appointment, change of status, termination of graduate or student assistants~~

~~5. Resignations~~

~~6. Contracts, purchases, and agreements when the amount is less than $500,000~~

~~7. Budget transfers that do not increase the board approved budget~~

~~8.~~*1.* Private, governmental, and foundation grants, agreements or sub-awards if the purpose of such is stipulated by the grantor. New grants, contracts, agreements or sub-awards are to be submitted to the Board of Regents for ratification on a quarterly basis.

~~9.~~*2.* Materials purchased for resale in auxiliary operations and central stores

~~10.~~*3.* Materials purchased for inventory stock of physical plant, residence life, or student *center* ~~center~~operations, such as custodial cleaning products and paper goods

4. Materials purchased for inventory stock from operation and maintenance budgets previously approved by the board, such as food purchases for the Early Childhood Lab

~~11.~~*5.* Materials or services purchased for emergencies resulting from disasters, hazards, or *other* ~~other~~exigent circumstances

~~12.~~*6.* Library subscription services

~~13.~~*7.* Recurring printing orders

~~14.~~*8.* Contracts and agreements for athletic events, entertainment concerts, fine arts events, *and other* ~~andother~~ similar activities

~~15.~~ Group travel packages for resale

~~16.~~*9.* ~~Materials or services purchased for emergencies resulting from disasters, hazards, or otherexigent circumstances~~

~~17.~~*10.* Outside counsel contracts

~~18.~~*11.* Other items approved by the president of the university which are not listed in Section *A of* ~~Aof~~ this policy

~~19.~~*12.* Specific commodities or service necessary for day-to-day operations *which may aggregate over $5~~1,000,000 in an annual period~~of the university:~~,~~ I~~*including, but not limited to utilities, gasoline, insurance, telecommunications and networking services, preferred or mandatory use vendor contracts, and blanket contracts or standing orders for which multiple purchases are made as needed by departments over the term, including renewals, to include, ~~but not limited to, computers, printers, office supplies, promotional products, and routine maintenance products.*

~~a. Water utility~~

~~b. Regulated electricity for beef farm, broiler farm and PWCC~~

~~c. Gasoline for university vehicles~~

~~d. Credit card merchant service fees~~

~~e. Maintenance contracts associated with preventive and/or repair work for on-going maintenance or service provided on a scheduled or as needed basis for equipment orsoftware~~

~~f. Asbestos abatement projects as necessary on an "as needed" basis~~

~~g. Insurance negotiated and/or approved by the State Office of Risk Management~~

~~h. Temporary staffing services~~

~~i. Telecommunications and networking services and fees for land line phones, cellphones and internet service~~

~~j. Hosted software services and applicable license and maintenance for general businessoperations such as student bill payment, cashiering and student email~~

~~k. Television programming services~~
~~l. Pest Control services~~
~~m. Concrete services not related to a project that requires board approval~~
~~n. Hazardous waste pick-up and disposal services~~
~~o. Radio tower rental for the university radio station~~
~~p. Consultant for annual roof inspections~~
~~q. Fire alarm inspections~~
~~r. Travel-related contracts, including air charter service~~
~~s. Search engine optimization for the university website~~
~~t. Preferred or mandatory use vendor contracts, blanket contracts or standing orders nototherwise requiring board approval, for which multiple purchases made as needed by departments may exceed $500,000 over the term of the contract including renewals and including, but not limited to, computers, printers, office supplies, promotional products, chemicals and air filters for HVAC systems, etc.~~

Cross Reference: *19 Tex. Admin. Code Ch. 17; Contracting Authority (1.3); Delegated Purchasing Authority (17.5); Procurement Manual; Construction Manual*~~None~~

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Finance and Audit Committee

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

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 <u>each</u> substantive revision: 1) Added definitions for eligible employee, eligible spouse, and eligible dependent.
2) Graduate Assistants have been removed from the LEAP policy and will be subsidized with a separate program.
3) Added length of service requirement for employees to be employed at 100% FTE for six months (continuous service) to be completed before the end of the enrolled term to become eligible for LEAP. This required service must also be completed by the employee before a spouse or dependent is eligible.
4) Changed the program to allow for participants to retain outside scholarships and federal financial aid (PELL and FSEOG). In the past, all financial aid applied to the student's bill first, and the LEAP exemption was reduced.

Specific rationale for deletion of policy:

Additional Comments:

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

Graduate Teaching and Research Assistants (GRA/GTAs) that were covered by LEAP in FY20-22 will no longer be covered under this employee benefit policy. A separate program will be established and funded in the university budget to provide financial aid in the form of a scholarship to subsidize the GRA/GTA program beginning with the Spring semester FY23.

To bridge the gap for the GRA/GTAs that were covered under LEAP in the Spring and Summer 22 terms and the GRA/GTAs hired for the Fall 22 term, a legacy subsidy will be provided using increased tuition and fee revenue. The legacy program will end as GRA/GTAs graduate or opt out of the program.

In accordance with policy 6.12 Graduate Assistantships, legacy and future participation in the new scholarship program requires the student be enrolled in a minimum of six (6) hours of graduate level coursework in order to receive the scholarship.

Recruitment of new full-time GRA/GTA positions beginning Spring 2023 will include scholarship funds that can be awarded for up to 50% of mandatory tuition and fees, excluding statutory and graduate tuition. The recommended scholarship levels are $3,000 for students enrolled in nine (9) hours and $2,300 for students enrolled in six (6) hours. These scholarship levels will fund approximately 50% of what the LEAP program would have covered. GRA/GTA positions beginning Spring 2023 will not be limited as to other financial aid for which they receive, therefore, stacking of any other scholarships will be allowed.

Effective for the Fall 2022 term, retirees, retiree spouses and retiree dependents will no longer be granted the LEAP benefit. This is not a policy change, but a procedural change required to comply with the current and revised versions of policy. There are currently seven (7) students receiving the LEAP exemption as either a retiree or dependent of a retiree. These students will be considered legacy retiree eligible participants. Participation in LEAP as legacy retirees, retiree spouses, and retiree dependents will end after the Summer 2024 term, or as these students graduate or become ineligible for any other reason.

Reviewers:

Judith Kruwell, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Erma Brecht, Executive Director Enrollment Management
Steve Westbrook, Interim President
Damon Derrick, General Counsel

Lumberjack Education Assistance Program

Original Implementation: January 28, 2003
Last Revision: ~~April 18, 2020~~*July 26, 2022*

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 *and funding is available*.

Definitions

Eligible employee – for purposes of LEAP, an eligible employee is 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.

Eligible dependent – for purposes of LEAP, a child, stepchild, or qualified dependent of an eligible employee meeting the definition of dependent under IRS regulations.

Eligible spouse – for purposes of LEAP, an individual recognized by law as a spouse or common law spouse and meets insurance eligibility requirements for a spouse set forth by the Employees Retirement System of Texas (ERS).

Third party or contract – a sponsoring organization or agency who takes responsibility for paying a student's tuition and fee balance either in full or in part.

Outside scholarship~~s~~ – a scholarship~~s~~ provided by a private donor~~s~~, foundation~~s~~, business~~es~~, ~~and~~or other sources external to Stephen F. Austin State University, SFASU Foundation, Inc., and SFASU Alumni Association.~~.~~

General

Detailed program and eligibility requirements can be found on the human resources website. ~~The program~~*LEAP* is designed as an employee benefit initiative and is subject to available resources.

~~Full-time employees and graduate assistants who meet specific eligibility requirements are permitted to take a course during working hours. However, participation in the program does not supersede regular work responsibilities. If departmental workloads permit, employees may take one course per semester of either three or four semester credit hours during working hours. 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 will be considered, but approval must be obtained from the employee's supervisor and appropriate vice president.~~

LEAP benefits apply 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 be reduced if~~do not apply to~~ tuition and fees ~~which~~ are paid by a third party or contract, or are ~~covered~~paid by any other exemption or ~~waiver.~~waiver.

LEAP benefits will also be reduced by student financial aid with the exception of ~~are not reduced by~~ PELL grant, FSEOG (federal supplemental educational opportunity grant), outside scholarships, ~~or~~ loans.

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 ~~the~~ *LEAP benefits* ~~Lumberjack Education Assistance Program~~. The value of any taxable tuition and fee benefits paid by ~~the~~ LEAP *above the annual IRS eligible amount is treated as a taxable benefit to the employee.* ~~will be included as taxable income on the employee's annual Wage and Tax Statement (W-2) and will be subject to tax withholdings.~~

Employees

Active, regular (100% FTE) employees become eligible for LEAP benefits when they will have completed six months of continuous service for the university ~~. The six month period must be completed~~ before~~y~~ the last day of the enrolled term. ~~I~~If an employee retires from the university, or terminates for any reason, LEAP eligibility will end on the last day of the enrolled term.

~~*LEAP benefits will apply to eligible tuition and fee charges for up to two courses (maximum 8 credit hours) per semester with supervisor approval. Statutory tuition related to courses eligible for LEAP will be covered by an employee scholarship.*~~

If departmental workload permits, an employee may attend one class during normal 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 class.

Statutory tuition related to courses eligible for LEAP will be covered by a separate employee scholarship. ~~*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.*~~

Spouse/Dependents

Eligible employees may apply for LEAP benefits on behalf of their spouse/dependents when the employee becomes eligible as set forth by this policy. The 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.

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.

Cross Reference: *LEAP Requirements Document on the Human Resources Website*~~None~~

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: *LEAP Application on mySFA; Employee Scholarship Application*~~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: Tuition Set Aside Funds Programs

Policy Number: 3.33

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 provides guidelines for the university's Set Aside Programs that are required by Texas Education Code (TEC), Chapter 56.

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: An audit of SFASU Tuition Set Asides revealed the need for a policy to document the governing board's establishment of guidelines of set aside programs as required by TEC 56.034. The target implementation date was set for July 31, 2022.

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Gina Oglesbee, Vice President for Finance and Administration
Judith Kruwell, Associate Vice President for Finance and Administration
Erma Brecht, Executive Director Enrollment Management
Steve Westbrook, Interim President
Damon Derrick, General Counsel

Tuition Set-Aside Funds Programs

Original Implementation: July 26, 2022
Last Revision: None

Purpose

This policy authorizes the university's set-aside programs required by Texas Education Code Chapter 56.

Definitions

Statutory Tuition Set-Aside Funds also referred to as **Texas Public Education Grants (TPEG)** – institutions of higher education are required by Texas Education Code Sections 56.031-.039 to set aside funds from statutory tuition to provide aid to students with financial need whose education costs are not met in whole or in part from other sources and to provide funds to supplement and add flexibility to existing financial aid programs.

Tuition Set-Aside Funds – institutions of higher education are required by Texas Education Code Sections 56.011-.012 to set aside funds from designated tuition to provide aid to students with financial need whose education costs are not met in whole or in part from other sources and to provide funds to supplement and add flexibility to existing financial aid programs.

General

The Board of Regents has authorized to be set aside for use as TPEG:

- Not less than 15-percent out of each resident student's statutory tuition charged under Texas Education Code Section 54.051 as provided by the General Appropriations Act for the applicable academic year;
- Three-percent out of each nonresident student's statutory tuition charged under Texas Education Code Section 54.051.

The Board of Regents has authorized to be set aside for use as undergraduate Tuition Set-Aside Aid:

- Not less than 15-percent of any amount of designated tuition charged to a resident undergraduate student under Texas Education Code Section 54.0513 in excess of $46 per semester credit hour.

The Board of Regents has authorized to be set aside for use as graduate Tuition Set-Aside Aid:

- Not less than 15-percent of any amount of designated tuition charged to a resident student enrolled in a graduate or professional degree program under Texas Education Code Section

54.0513 in excess of $46 per semester credit hour.

The Tuition Set-Aside funds support need-based university initiatives.

Guidelines for Awarding Aid

The following guidelines shall be used in awarding aid from Set-Aside Programs:

- Students must establish financial need in accordance with university procedures and rules established by the Texas Higher Education Coordinating Board (THECB). Financial need is determined by review of a Free Application for Federal Student Aid (FAFSA) or Texas Application for State Financial Aid (TASFA).
- Aid may only be applied to students who are admitted and enrolled for at least six hours that apply to their undergraduate degree program or at least six hours that apply to their graduate degree program.
- The student must meet the satisfactory academic progress criteria established by the Office of Financial Aid and Scholarships

Funds set aside from resident tuition may only be used for aid to resident students. Funds set aside from nonresident tuition may only be used for nonresident students. After the end of the semester, the university may transfer any excess funds set aside from tuition paid by resident or nonresident students for aid awarded to the other class of students. Priority for awarding aid from any excess funds set aside by resident students shall be given to resident students.

Excess Funds

At the end of a fiscal year, if the total amount of unencumbered funds set aside under the TPEG program exceed 150-percent of the amount of funds set aside by the university for the TPEG program in the fiscal year, the university shall transfer the excess amount to THECB for the purpose of awarding aid to students at institutions other than Stephen F. Austin State University.

Administrative

The Office of Financial Aid and Scholarships will maintain administrative procedures for awarding aid from Tuition Set-Aside Programs and will submit guidelines for the award of aid to THECB. The Financial Reporting Department will maintain administrative procedures for Tuition Set-Aside calculations and accounts.

Cross Reference: Tex. Educ. Code §§ 54.0501-.0513,56.011-.039

Responsible for Implementation: Vice President for Finance and Administration and Executive Director of Enrollment Management

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

POLICY SUMMARY FORM

Policy Name: Vendor Protests

Policy Number: 16.36

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

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

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

Purpose of Policy (what does it do): This policy establishes guidelines for the submission and evaluation of vendor protests in connection with the solicitation, evaluation, or award of a contract with 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: Title changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Vendor Protests

Original Implementation: July 14, 1998
Last Revision: July *26~~23~~*, 20*22~~19~~*

Purpose

This policy establishes guidelines for the submission and evaluation of vendor protests in connection with the solicitation, evaluation, or award of a contract with the university.

General

Any actual or prospective bidder, offeror, or contractor who feels aggrieved in connection with the solicitation, evaluation, or award of a contract may formally protest to the director of procurement and *business* ~~property~~ services/HUB coordinator of Stephen F. Austin State University *(procurement director)*. Such protests must be in writing and received in the procurement director's office: (1) by the end of the posted solicitation period if the protest concerns the solicitation documents or actions associated with the publication of the solicitation documents; (2) by the day of the award of a contract resulting from the solicitation if the protest concerns the evaluation or method of evaluation for a solicitation; or (3) no later than ten (10) days after the notice of award if the protest concerns the award.

Formal protests must conform to the requirements of this policy, and shall be resolved in accordance with the procedure set forth herein. Copies of the protest must be mailed or delivered by the protesting party to any other interested parties. For the purposes of this policy, "interested parties" means all vendors who have submitted bids, proposals, or other expressions of interest related to the solicitation and/or contract involved.

In the event of a timely protest or appeal, Stephen F. Austin State University shall not proceed further with the solicitation or award of the contract unless the procurement director, after consultation with the end user, makes a written determination that the award of contract without delay is necessary to protect the best interests of the university.

A formal protest must be sworn and contain:

1. A specific identification of the statutory or regulatory provision(s) that the action complained of is alleged to have violated;
2. A specific description of each act alleged to have violated the statutory or regulatory provision(s) identified above;
3. A precise statement of the relevant facts;
4. An identification of the issue or issues to be resolved;
5. Argument and authorities in support of the protest; and
6. An explanation of the subsequent action sought.

The procurement director shall have the authority, prior to appeal to the vice president for finance and administration, to settle and resolve the dispute concerning the solicitation, evaluation, or award

of a contract. The procurement director may solicit written responses to the protest from other interested parties.

If the protest is not resolved by mutual agreement, the procurement director will issue a written determination on the protest.

1. If the procurement director determines that no violation of rules or statutes has occurred, he/she shall so inform the protesting party, the end user, and other interested parties by letter which sets forth the reasons for the determination.
2. If the procurement director determines that a violation of the rules or statutes has occurred in a case where a contract has not been awarded, he/she shall so inform the protesting party, the end user, and other interested parties by letter which sets forth the reasons for the determination and the appropriate remedial action.
3. If the procurement director determines that a violation of the rules or statutes has occurred in a case where a contract has been awarded, he/she shall so inform the protesting party, the end user, and other interested parties by letter which sets forth the reasons for the determination, which may include ordering the contract void.

The procurement director's determination on a protest may be appealed by the protesting party to the vice president for finance and administration. An appeal of the procurement director's determination must be in writing and must be received in the vice president's office no later than 10 working days after the date of the procurement director's determination. The appeal shall be limited to review of the procurement director's determination. Copies of the appeal must be mailed or delivered by the protesting party to any other interested parties and must contain a certified statement that such copies have been provided.

The vice president may, in his/her discretion, refer the matter to the president for his/her consideration or issue a written decision on the protest.

When a protest has been appealed, the following requirements shall apply.

1. Copies of the appeal and responses of interested parties, if any, shall be delivered to the vice president or president, as applicable (“appellate authority”).
2. The appellate authority may, in his/her sole discretion, hold a hearing on the appeal if he/she believes the written record is not sufficient to render a determination. If a hearing is held, the appellate authority will set the order and amount of time allowed for presentations. The general counsel may be present as an advisor to the university.
3. The appellate authority's determination of the appeal shall be final.

Unless good cause for delay is shown or the appellate authority determines that a protest or appeal raises issues significant to procurement practices or procedures, a protest or appeal that is not filed timely or containing all required information will not be considered.

A decision issued in writing by the appellate authority, shall be the final administrative action of Stephen F. Austin State University.

Cross Reference: Tex. Gov't Code § 2155.076; 34 Tex. Admin. Code §§ 20.531-.538

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: None

Board Committee Assignment: Finance and Audit


STEPHEN F. AUSTIN STATE UNIVERSITY
1923
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
- Information Technology Follow-Up Audit
- External Information Technology Follow-Up 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 head volleyball coach, head softball coach, head tennis coach, head soccer coach, head bowling coach, co head track/field coach, co head track/field and cross country coach, interim chief audit executive, general counsel, coordinator of board affairs/compliance, 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 interim president. (Texas Government Code, Section 551.074)


Stephen F. Austin State University
Board of Regents
Meeting 357
July 26, 2022

Stephen F. Austin State University
Board of Regents
Meeting 357
July 24-26, 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

Administrators

Steve Westbrook
Damon Derrick
Jane Ann Bridges
Anthony Espinoza
Brandon Frye
Graham Garner
Rachele Garrett
Ryan Ivey
Michara DeLaney-Fields
Gina Oglesbee
Lorenzo Smith
Jill Still
Charlotte Sullivan

ACADEMIC AFFAIRS – SPECIAL RECOGNITION

Steve Galatas – Model EU Team



Steve Galatas – Model EU Team

EPLO accompanies college students from across the Midwest, as they gathered at Indiana University, Bloomington to take part in the Midwest Model European Union | EPLO News | European Parliament Liaison Office in Washington (europa.eu)

Academic Advisors

- Jessica Boone — College of Liberal and Applied Arts
- Laurel Bleil — Nelson Rusche College of Business
- Trina Menefee — College of Sciences and Mathematics
- Courtney Beavers — Micky Elliott College of Fine Arts
- Brandy Bishop — Arthur Temple College of Forestry and Agriculture
- Stephanie Strahl — James I. Perkins College of Education
- Raquel Skidmore — Student Success Center
- Kate Childress — Student Success Center

OFFICE OF DIVERSITY, EQUITY & INCLUSION

NAME	TITLE	AREA
Dr. Michara DeLaney-Fields	Chief Diversity Officer	ODEI
Susan K. Nolan	Assistant to the Chief Diversity Officer	ODEI
Lissy Turner	Director and Title IX Coordinator	TIX
Dr. Kacee Garner	Compliance Specialist - Investigator	TIX
Rachel Pierce	Compliance Specialist - Investigator	TIX
Katherine "Kate" West	Compliance Specialist - Response	TIX
Veronica Beavers	Director	OMA
Ja'Von Long	Assistant Director	OMA
Laura Branch	Interim Coordinator	VRC
Tiffany Rivers	Director/ ADA Coordinator	DS
Denise Douglas	Coordinator Disability Services Exam	DS
Shannon Jacobs	Senior Interpreter/Coordinator of Deaf/HH Svcs	DS
Shannon Groce	Interpreter	DS

FINANCE AND ADMINISTRATION – SPECIAL RECOGNITION

Judi Kruwell
John Branch
John Fields
Jeremy Higgins
Kay Johnson
Michaelyn Greene
Jacob Seamans
John Wyatt

MINUTES OF APRIL 10-11, 2022 (355) AND MAY 6, 2022 (356) BOARD OF REGENTS MEETINGS

Explanation:

The minutes of the April 10-11, 2022 regular meeting of the Board of Regents (Meeting 355) and the April 10-11, 2022 special called meeting (Meeting 356) are included in this report.

Recommendation:

It is recommended by the administration that the minutes of the April 10-11, 2022 (Meeting 355) and the April 10-11, 2022 (Meeting 356) be approved as presented.

Stephen F. Austin State University

MINUTES OF THE BOARD OF REGENTS

Nacogdoches, Texas
April 10-11, 2022
Volume 355

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Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
April 10-11, 2022
Austin Building, Room 307
Meeting 355

Sunday, April 10, 2022

The meeting of the Board of Regents was called to order in open session at 2:01 p.m. by chair Karen Gantt.

PRESENT:

Board Members:	Mrs. Karen Gantt, Chair
	Mr. Tom Mason, Vice Chair
	Mrs. Jennifer Winston, Secretary
	Mr. David Alders
	Mr. Robert Flores
	Mrs. Judy Olson – arrived at 2:20 p.m.
	Dr. Laura Rectenwald
	Ms. Nancy Windham
	Mr. Spencer Coffey, Student Member

Note: Regent Brigettee Henderson was unable to attend.

General Counsel:	Mr. Damon Derrick
Chief Audit Exec.:	Mrs. Gina Oglesbee
Cabinet Members:	Mr. Anthony Espinoza
	Mrs. Judi Kruwell
	Mrs. Jill Still

Other SFA administrators and staff were in attendance.

Chair Gantt called the meeting into Executive Session to discuss the following items at 2:05 p.m.:

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)

The executive session ended and the Board of Regents meeting returned to open session at 6:38 p.m.

COMMITTEE OF THE WHOLE

Border Order 22-36
Upon motion by Regent Flores, seconded by Regent Alders, with all members voting aye, it was ordered that the following personnel item be approved.

APPOINTMENT OF INTERIM PRESIDENT

WHEREAS, the board members considered: President Scott Gordon and the university have mutually agreed that it is in the best interest of both parties for the employment relationship to end. It is therefore necessary for the Board of Regents to appoint an interim president to serve until such time as the Board names a permanent president.

THEREFORE, it was approved/ordered that Dr. Steve Westbrook be appointed as interim president of Stephen F. Austin State University at a salary of $365,000 annually, effective immediately.

The meeting was recessed by Chair Gantt at 6:40 p.m. to Monday, April 11 at 8:00 a.m.

Monday, April 11, 2022

The meeting of the Board of Regents was called to order in open session at 8:08 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
Interim President:	Dr. Steve Westbrook
General Counsel:	Mr. Damon Derrick
Chief Audit Exec.:	Mrs. Gina Oglesbee

Cabinet Members: Mrs. Erma Brecht
Dr. Michara DeLaney-Fields
Mr. Anthony Espinoza
Dr. Brandon Frye
Mr. Graham Garner
Mr. Ryan Ivey
Mrs. Judi Kruwell
Dr. Lorenzo Smith
Mrs. Jill Still
Dr. Charlotte Sullivan

Other SFA administrators and staff were in attendance.

Chair Gantt provided a review of the Board Order 22-36 that was approved the evening of April 10, 2022 and welcomed Interim President, Dr. Steve Westbrook.

The board recessed to committee meetings.

The meeting of the Building and Grounds Committee was called to order in open session at 8:13 a.m. by committee chair, David Alders.

Committee Members: Mr. David Alders, Chair
Mrs. Brigettee Henderson
Ms. Nancy Windham
Mrs. Karen Gantt, ex officio

The committee members heard presentations, discussed and agreed to recommend the following agenda items.

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

The Building and Grounds Committee adjourned at 8:22 a.m. and the Academic and Student Affairs Committee was called to order by Committee Chair Brigettee Henderson.

Committee Members: Mrs. Brigettee Henderson, Chair
Dr. Laura Rectenwald
Mrs. Jennifer Winston

Mr. Spencer Coffey, Student Regent
Mrs. Karen Gantt, ex officio

The Title IX Report was provided by cabinet member, Dr. Michara DeLaney-Fields. The UPD Racial Profiling Report was given by SFA Chief of Police, John Fields.

The committee members heard presentations, discussed and agreed to recommend the following agenda items.

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
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    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

The Academic and Student Affairs Committee recessed and the Finance and Audit Committee Meeting was called to order by Committee Chair Tom Mason at 8:50 a.m.

Committee Members: Mr. Tom Mason, Chair
Mr. Robert Flores
Mrs. Judy Olson
Mrs. Karen Gantt, ex officio

The committee members heard presentations, discussed and agreed to recommend the following

agenda items.

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

The Finance and Audit Committee recessed until after lunch and the Academic and Student Affairs Committee reconvened at 9:26 a.m.

Committee Members: Mrs. Brigettee Henderson, Chair
Dr. Laura Rectenwald
Mrs. Jennifer Winston
Mr. Spencer Coffey, Student Regent
Mrs. Karen Gantt, ex officio

The board took a tour of the School of Social Work and the DeWitt School of Nursing. The Academic and Students Affairs Committee adjourned at 12:10 p.m. and the board broke for lunch.

At 1:29 p.m. the invocation was provided by Regent Alders and the pledges were led by ROTC Cadet Hannah Fritsch.

The Finance and Audit Committee was called to order by Committee Chair, Tom Mason at 1:35pm p.m.

Committee Members: Mr. Tom Mason, Chair
Mr. Robert Flores
Mrs. Judy Olson
Mrs. Karen Gantt, ex officio

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

Policy 12.5, Lumberjack Education Assistance Program was tabled for further university discussion.

The Finance and Audit Committee adjourned at 1:48 p.m. and committee meeting were recessed and Chair Gantt reconvened the Board meeting to Committee of the Whole.

SPECIAL RECOGNITION

Student Regent Spencer Coffey was recognized for his service to the university throughout 2021-2022. Dr. Lorenzo Smith recognized professors that received promotions, grants, awards, and the Regent Scholar, Dr. Stephan Taaffe. Mrs. Erma Brecht recognized the Financial Aid and Scholarship Officers for their support to the university. Dr. Brandon Frye recognized the Pine Log and Spirit Programs for awards received. Mrs. Judi Kruwell introduced Jacob Seamans, Director of Financial Reporting. Mr. Ryan Ivey recognized the coaches and players of the Lumberjack and Ladyjack Basketball teams for their successful seasons.

MINUTES

Board Order 22-37
Upon motion by Regent Winston, seconded by Regent Flores, with all members voting aye, it was ordered that the minutes of Meeting 353, January 30 – February 1, 2022 and Special Called Meeting 354, March 23, 2022 be approved as presented.

PERSONNEL

Board Order 22-38
Upon motion by Regent Alders , seconded by Regent Mason, with all members voting aye, it was ordered that the following personnel items be approved as listed in Appendix 1.

STAFF APPOINTMENTS

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.

FACULTY APPOINTMENTS

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.

FACULTY PROMOTIONS

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.

FACULTY TENURE

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.

CHANGES OF STATUS

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.

REGENTS SCHOLARS 2022-2023

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.

RETIREMENTS

Retirements include the listing of personnel that have selected to retire from SFA.

Board Order 22-39
Upon motion by Regent Mason , seconded by Regent Henderson, with all members voting aye, it was ordered that the following personnel items be approved

APPOINTMENT OF VICE PRESIDENT FOR FINANCE AND ADMINISTRATION

WHEREAS, the board members considered: The position of vice president for finance and administration has been filled with an interim placement since July 2021. University policy provides that the Board of Regents may participate at its discretion in the selection of any position reporting directly to the president. A need exists for this position to be filled without delay.

THEREFORE, the Board of Regents appoints Ms. Gina Oglesbee, currently chief audit executive, as vice president for finance and administration at a salary of $202,594 annually, effective April 18, 2022.

Board Order 22-40
Upon motion by Regent Mason , seconded by Regent Windham, with all members voting aye, it was ordered that the following personnel items be approved

APPOINTMENT OF INTERIM CHIEF AUDIT EXECUTIVE

WHEREAS, the board members considered: The former chief audit executive, Ms. Gina Oglesbee, has been appointed as vice president for finance and administration. It is necessary for the Board of Regents to appoint an interim chief audit executive to serve until such time as the Board names a permanent chief audit executive.

THEREFORE, the Board of Regents appoints Ms. Jane Ann Bridges, currently assistant chief audit executive, as interim chief audit executive at a salary of $149,968 annually, effective April 18, 2022.

BUILDING AND GROUNDS COMMITTEE

Board Order 22-41
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.

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

WHEREAS, the board members considered: 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.

THEREFORE, it was ordered 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.

Board Order 22-42
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.

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

WHEREAS, the board members considered: 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.

THEREFORE, it was approved for the administration to submit 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.

Board Order 22-43
Upon motion by Regent Alders, seconded by Regent Olson, with all members voting aye, it was ordered that the following building and grounds item be approved.

BUILDING AND GROUNDS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 2.

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

Board Order 22-44

Upon motion by Regent Henderson, seconded by Regent Mason, with all members voting aye, it was ordered that the following academic and student affairs items be approved.

ENHANCING ENROLLMENT WITH THE ADDITION OF STUNT AS AN ATHLETIC PROGRAM

WHEREAS, the board members considered: 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.

THEREFORE, it was ordered that STUNT be added to the SFA Athletics program for fall 2023 to help enhance enrollment.

EXTEND THE TEST-OPTIONAL ADMISSIONS REQUIREMENT FOR 2023 TERMS

WHEREAS, the board members considered: 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.

THEREFORE, it was ordered that 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 2022-23

WHEREAS, the board members considered: 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.

THEREFORE, it was ordered the approval of undergraduate and graduate curriculum changes as presented in Appendix 3 to be effective fall 2022.

CURRICULUM CHANGE FOR SUMMER 2022

WHEREAS, the board members considered: 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.

THEREFORE, it was ordered the approval of graduate curriculum change for Accounting – ACCT 5320, effective summer 2022.

ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 2.

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

Board Order 22-45
Upon motion by Regent Mason, seconded by Regent Windham, with all members voting aye, it was ordered that the following finance and audit item be approved.

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

The Board of Regents acknowledge receipt of the audit services report as presented including 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

Board Order 22-46
Upon motion by Regent Mason, seconded by Regent Alders, with all members voting aye, it was ordered that the following finance and audit items be approved.

ACKNOWLEDGE RECEIPT OF CONTRACT MONITORING REPORT

The Board of Regents acknowledge receipt of the contract monitoring report as presented including the following:

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

GRANT AWARDS

WHEREAS, the board members considered: 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.

THEREFORE, it was ordered the approval and ratification of the additional fiscal year 2022 grant awards that total $196,198. The grant awards are detailed in Appendix 4.

Board Order 22-47
Upon motion by Regent Mason, seconded by Regent Olson, with all members voting aye, it was ordered that the following finance and audit item be approved.

ON-CAMPUS RESIDENTIAL WIRELESS SERVICE AND UPGRADE

WHEREAS, the board members considered: 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.

THEREFORE, it was ordered the 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 university administration is authorized to sign associated purchase orders and contracts as necessary.

Board Order 22-48
Upon motion by Regent Mason, seconded by Regent Alders, with all members voting aye, it was ordered that the following finance and audit item be approved.

FINANCE AND AUDIT POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 2.

- 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
- Payment Card Acceptance and Security 14.8
- Receipts and Deposits 3.26
- Student Accounts Receivable 3.28
- Travel 3.29

REPORTS

Faculty Senate Chair, Brian Uriegas reported on the following topics.

- Faculty Accomplishments
- Senate Work Spring 2022
- Closing Remarks

Staff Council Chair, Megan Weatherly presented on the following topics.

Topics of Staff Council Discussion
Future Staff Council Actions

Student Government Association President, Madison Gartman discussed the following topics.
SGA Elections
Current and Upcoming SGA Initiatives

Interim President, Steve Westbrook greeted the university faculty, staff and students and discussed:
Legislative Session 2023
Upcoming 100-year anniversary
Maintaining focus on the mission of the University

Chair Gantt called the meeting into Executive Session at 3:50 p.m. 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)

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)

The executive session ended and the Board of Regents meeting returned to open session at 6:19 p.m.

The meeting of the Board of Regents adjourned by Chair Gantt at 6:20 p.m.

STAFF APPOINTMENTS

Appendix 1

	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

Appendix 1

	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

Appendix 1

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

Appendix 1

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 - STAFF

Appendix 1

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

Appendix 1

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

Appendix 1

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

Appendix 2

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Administrative Systems Software Changes	16.2.	6
Campus Program for Minors	13.5.	8
Compensation from Grants, Contracts and Other Sponsored Agreements	12.1.	15
Discontinuance of Program or Academic Unit	5.9.	21
Distribution of Payroll	12.3.	24
Effort Reporting and Certification for Sponsored Activities	8.1.	27
Email for University Communication	15.1.	31
Facilities and Administration (Indirect) Cost Recovery, Distribution and Use	8.5.	33
Family and Medical Leave	12.9.	36
File Maintenance for Faculty Personnel Files	4.6.	43
Financial Conflicts of Interest in Sponsored Activities	8.2.	46
Fixed Amount Awards	8.12.	58
Grants and Contracts Administration	8.3.	62
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Institutional Reserves	3.19.	70
Markers, Monuments and Artwork	16.17.	73
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Reproduction of Copyrighted Works by Educators and Librarians	9.2.	102
Skating, Skateboarding and Motorized Scooters	13.20.	110
Solicitation On Campus	16.25	113
Space Assignment, Management and Planning	16.3.	118
Student and Non-Student Accounts Receivable	3.28.	122

Appendix 2

Policy Name	Policy Number	Page
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Travel	3.29.	136
University Letterhead and Email Signatures	15.5.	139
University Publications, Mass Email and Webpages	15.8.	142

Appendix 2

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 <u>each</u> 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 <u>each</u> 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 *17*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

Appendix 2

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~~us~~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: 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 <u>each</u> 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

Appendix 2

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 <u>each</u> 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

Appendix 2

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 <u>each</u> 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

Appendix 2

~~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: 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 <u>each</u> 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

Appendix 2

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 <u>each</u> 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: 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 <u>each</u> 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 <u>each</u> 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

Appendix 2

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 <u>each</u> 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

Appendix 2

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 <u>each</u> 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

Appendix 2

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 <u>each</u> 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

Appendix 2

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 <u>each</u> 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: 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 <u>each</u> 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

Appendix 2

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 <u>each</u> 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: 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 <u>each</u> 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 *1*~~1~~30, 20*22*~~21~~9

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 i~~nstitutional 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

Appendix 2

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 <u>each</u> 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: 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 <u>each</u> 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

Appendix 2

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 <u>each</u> 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: 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~~, 202*2*~~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: 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 <u>each</u> 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: 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 <u>each</u> 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~~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

Appendix 2

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 <u>each</u> 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: 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 <u>each</u> 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~~, 20*22*~~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 <u>each</u> 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

Appendix 2

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 <u>each</u> substantive revision: Minor changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Interim Vice President for Finance and Administration
John 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

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*ppro*ved 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: 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: 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 <u>each</u> 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

Appendix 2

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 <u>each</u> 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

Appendix 2

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 <u>each</u> 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

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

Appendix 4

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.

Appendix 4

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.

Stephen F. Austin State University

MINUTES OF THE BOARD OF REGENTS

Nacogdoches, Texas
May 6, 2022
Volume 356

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BOARD OF REGENTS MEETING 356

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Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
May 6, 2022
Austin Building, Room 307
Meeting 356

Friday, May 6, 2022

The meeting of the Board of Regents was called to order in open session at 10:07 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

General Counsel:	Mr. Damon Derrick
Interim President:	Dr. Steve Westbrook
Interim Chief Audit Exec.:	Mrs. Jane Ann Bridges
Cabinet Members:	Mrs. Erma Brecht
	Dr. Michara DeLaney-Fields
	Mr. Anthony Espinoza
	Dr. Brandon Frye
	Mr. Graham Garner
	Mrs. Gina Oglesbee
	Dr. Lorenzo Smith
	Mrs. Jill Still

Other SFA administrators and staff were in attendance.

Steve Durham, Executive Vice President and Director of Collegiate Projects for Kirksey Architecture provided the Capital Improvements Plan Report that Kirksey prepared for the university. The board directed the administration to review the Kirksey Report and prepare actions for the July Board of Regents Meeting.

Presentations and Board Actions were taken on the following items.

Board Order 22-49
Upon motion by Regent Mason, seconded by Regent Olson, with all members voting aye, it was ordered that the following item be approved.

MEDIA BUYING CONTRACT PURCHASE ORDER INCREASE

WHEREAS, the board of members considered the following: The University has contracted with Love Advertising, Inc. for services related to media buying and digital presence for a one-year period of time, with the option to extend one-year periods each year for up to four (4) additional periods at the option of SFA. This contract was previously approved in November 2021 by the Board of Regents for a contract amount not to exceed $250,000 in any one year and not to exceed $1,250,000 in total over a possible five-year period. This request to amend the current contract will allow other departments on campus to utilize Love Advertising, Inc. for digital advertising needs. We are requesting to amend this contract for an additional $100,000 per year for up to four (4) additional periods at the option of SFA. This request is only for additional spending authority within the contract, and does not represent a request for additional budget dollars. Any additional dollars will come from other departments' budgets and grants, or similar needs. This will reduce overall expense to the University, as digital advertising purchase typically requires a broker and possible fees. Additionally, it will ensure all SFA digital advertising is coordinated, on brand and message, and not in competition with itself.

THEREFORE, it was ordered that the president be authorized to sign a contract amendment in the amount of $100,000 per year for up to four (4) additional periods at the option of SFA and all associated purchase orders with Love Advertising, Inc. The total contract amount including this amendment shall not exceed $350,000 in any one contract period and not to exceed $1,750,000 in total over a possible five-year contract period.

Board Order 22-50
Upon motion by Regent Henderson, seconded by Regent Windham, with all members voting aye, it was ordered that the following item be approved.

WIRELESS NETWORK LICENSING RENEWAL

WHEREAS, the board of members considered the following: The university's institutional license with Cisco for both the use of, and the software support for, our campus wireless network is due for renewal. SFA has negotiated a five-year license renewal at a total of $1,668,825 that may be paid in equal annual payments of $333,765 during the term of the renewal. There is no finance charge associated with this installment plan.

As approximately seventy-five percent of the campus wireless network is dedicated to student residential facilities, a corresponding percentage of the funds for the license renewal will be derived from the funds already approved by the board within the "On-Campus Residential Wireless Service and Upgrade" item on April 11, 2022. Funds from the Higher Education Fund (HEF) appropriation will be used to fund the remaining non-residential portion of the license.

THEREFORE, it was ordered the approval of a five-year Cisco wireless licensing renewal with a total five-year cost of $1,668,825, to be paid in annual installments of $333,765 over the five-year term

of the license. The president be authorized to execute all purchase orders and contracts necessary to execute this license renewal.

The board broke for lunch at 11:40 a.m.

At 1:04 p.m. Chair Gantt announced the appointment of the established Board Committees for 2022-2023.

EXECUTIVE AND LEGISLATIVE COMMITTEE
This committee is comprised of the board officers and shall serve as an advisory committee to review and make recommendations to the full board on any matter related to legislative initiatives and the governance, control and direction of the policies of the university.

Karen Gantt, Chair
Tom Mason, Vice Chair
Jennifer Winston, Secretary

ACADEMIC AND STUDENT AFFAIRS COMMITTEE
This committee shall consider: (1) the curricula of the various colleges and departments of the University with any other matters dealing with academic programs and the progress thereof; (2) the research programs within the university and their relationship to all graduate education; (3) student affairs within the university; (4) personnel matters within the university; (5) administrative matters not delegated to another committee.

Laura Rectenwald, Chair
Brigettee Henderson
Jennifer Winston
Student Regent
Karen Gantt, ex-officio

BUILDING AND GROUNDS COMMITTEE
This committee shall consider: (1) use and occupancy of university property; (2) planning of, 20 locating of, receiving bids for, awarding contracts for, construction of, and maintenance of buildings, utilities, and other physical facilities of the campus.

David Alders, Chair
Jennifer Winston
Nancy Windham
Karen Gantt, ex-officio

FINANCE AND AUDIT COMMITTEE
This committee shall consider: (1) the budgeting and appropriations request processes; (2) 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; (3) handling of university funds, depositories, etc., whether from appropriated or contributed funds. (4) the auditing function of the university including, but not limited to, annual audit plan, internal and external audit reports, risk assessment, and audit/compliance.

Tom Mason, Chair
Robert Flores
Judy Olson
Karen Gantt, ex-officio

Chair Gantt also confirmed that Regent Brigettee Henderson would remain as the chair of the Intercollegiate Athletic Advisory Committee and the Juanita Curry Boynton House Committee.

Chair Gantt called the meeting into Executive Session to discuss the following items at 1:06 p.m.:

- 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 3:32 p.m.

The meeting of the Board of Regents adjourned by Chair Gantt at 3:33 p.m.

ELECTION OF INTERIM CHIEF AUDIT EXECUTIVE FOR 2022-2023

Explanation:

The *Board Rules and Regulations* state that the chief audit executive serves at the pleasure of the board and shall be elected by the board at the annual budget meeting by affirmative vote of a board majority and that the salary of the chief audit executive shall be designated in the appointing order.

Recommendation:

Pending recommendation of the executive committee.

ELECTION OF COORDINATOR OF BOARD AFFAIRS FOR 2022-2023

Explanation:

The *Board Rules and Regulations* state that the coordinator of board affairs serves at the pleasure of the board and shall be elected by the board at the annual budget meeting by affirmative vote of a board majority and that the salary of the coordinator of board affairs/compliance shall be designated in the appointing order.

Recommendation:

Pending recommendation of the executive committee.

ELECTION OF GENERAL COUNSEL FOR 2022-2023

Explanation:

The *Board Rules and Regulations* state that the general counsel serves at the pleasure of the board and shall be elected by the board at the annual budget meeting by affirmative vote of a board majority and that the salary of the general counsel shall be designated in the appointing order.

Recommendation:

Pending recommendation of the executive committee.

ELECTION OF INTERIM PRESIDENT FOR 2022-2023

Explanation:

The *Board Rules and Regulations* state that the president serves at the pleasure of the board and shall be elected by the board at the annual budget meeting by affirmative vote of a board majority and that the president's salary shall be designated in the appointing order.

Recommendation:

Pending recommendation of the executive committee.

Stephen F. Austin State University
Board of Regents
Evaluation

The Board of Regents hereby conducts this self-evaluation of its responsibilities and expectations, with consideration given to the principles of board governance as specified by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), applicable state law, the Board of Regents Rules and Regulations, and the SFA strategic plan.

Orientation and Education

i. New members of the Board are provided an orientation session with university leadership and direct reports. This orientation provides an overview of each area of operations in advance of those members' first meeting and introduces the legal obligations of members of the Board. The Texas Higher Education Coordinating Board further provides an orientation session regarding legal obligations and best governance practices.

Current orientation content and process meets the needs of new Board members, and new Board members understand the legal obligations and expectations.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

ii. At the request of the chair, the Board may be provided a refresher training regarding their duties and responsibilities, including those duties required by law, and best practices in board governance. This includes, but is not limited to, the policy-making role of the Board, its fiduciary responsibilities in the management of funds, proper influence of external stakeholders, essential responsibilities, and accountability.

The Board is aware of its legal obligations and expectations. Current process for refresher training meets the Board's needs.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

Legal Responsibilities

i. The Board is expected to preserve institutional independence and to defend its right to manage its own affairs through its chosen administrators and employees.

The Board effectively advocates for the university's independence and ability to manage its own affairs.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

ii. The Board shall enhance the public image of each institution under its governance.

The Board actively and effectively enhances the public image of the university.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

iii. The Board shall interpret the community to the campus and the campus to the community.

The Board actively and effectively manages and nurtures community-university relations.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

iv. The Board shall nurture each institution under its governance to the end that each institution achieves its full potential within its role and mission.

The Board actively and effectively nurtures the university, enabling it to achieve its full potential within its stated role and mission.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

v. The Board shall insist on clarity of focus and mission of each institution under its governance.

The Board ensures the focus and mission of the university is clear to the university community.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

vi. The Board shall provide the policy direction for each institution of higher education under its management and control.

The Board actively and effectively provides policy direction for the university.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

Organization and Structure

i. Board Rules are reviewed and revised on an as-needed basis, usually due to a change in law or regulation.

The Board Rules are reviewed and revised in an appropriate manner.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

ii. Board Rules provide that regular quarterly meetings will take place, usually in January, April, July, and October. The annual meeting in April is required by law.

Current meeting structure meets the Board's needs.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

iii. There are three elected officers of the Board: Chair, Vice Chair, and Secretary.

Current officer structure and duties meets the Board's needs.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

iv. There are four standing committees of the Board: Executive, Academic and Student Affairs, Building and Grounds, and Finance and Audit. A nominating committee is selected by the Chair at the October meeting. Special committees may be appointed as necessary.

Current committee structure and duties meets the Board's needs.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

v. The Board elects four positions directly: President, General Counsel, Chief Audit Executive, and Coordinator of Board Affairs/Compliance. The Board Rules briefly describe the duties and responsibilities of each position. These positions are appointed on an annual basis and serve at the pleasure of the Board.

Current selection and evaluation process meets the Board's needs.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

vi. The Board Rules require the chair of the Board to ensure the Board is apprised of its duties and responsibilities provided under law, and assign which areas of the university each committee will oversee. University policy lists any items that require Board approval prior to the university taking action.

Board Rules and university policy effectively clarify the role and limits of the Board.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

vii. The Board Rules detail the authority, duties and responsibilities of the university president. The duties and responsibilities are also supplemented by university policy approved by the Board.

Board Rules and university policy effectively clarify the role and authority of the president.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

viii. By law, the Board must provide the policy direction for the university. The Board Rules state that the president "shall have discretionary powers broad enough to effectively administer the university within the policies and procedures as set forth" by the Board.

Board Rules and university policy effectively distinguish the roles between the Board and the president.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

ix. The format and content of the Board Report is described in the Board Rules. It must be submitted to all members of the Board and the secretary at least ten days in advance of a meeting.

Current board report structure and process meets the Board's needs.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

x. Most board action items must be first presented through one of the standing committees. Exceptions include personnel and gifts/donations. An item must have a majority vote of the committee to proceed to the full Board for consideration. A majority vote of the Board will result in the item passing. The Chair may vote whenever his/her vote would affect the result – to break or to cause a tie.

Current approval structure for action items meets the Board's needs and is sufficient to prevent undue influence by a minority of members or by external forces.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

xi. At each quarterly meeting, the Board approves the minutes from the prior meeting. These minutes are prepared by the coordinator of board affairs/compliance and organized by committee. They further contain a listing of any reports presented to the Board at the meeting, and any appendices accompanying each item.

Board minutes are clear and accurate, providing sufficient detail to capture the results of deliberations.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

xii. Board rules and SFA policy prohibit the approval of any contract or agreement of any character in which a member of the Board, directly or indirectly, has a pecuniary or substantial interest, without prior advice of the general counsel. Members are required to self-disclose any potential direct or indirect pecuniary or substantial interests in matters pending before the Board. Information regarding known potential conflicts is maintained by SFA's procurement department.

Current safeguards and procedures are sufficient to identify and prevent conflicts of interest.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

xiii. The Board serves in a fiduciary role. The board receives an update from its financial managers and approves SFA's investment policy on an annual basis. A regent serves as an investment liaison officer to administration. The Board receives an update on outstanding construction projects and significant contracts every quarter.

Current practice keeps the Board informed of the financial health of SFA.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

SFA Strategic Plan

i. SFA's mission, as stated in SFA Envisioned, 2015-2023 Strategic Plan is as follows: "*Stephen F. Austin State University is a comprehensive institution dedicated to excellence in teaching, research, scholarship, creative work, and service. Through the personal attention of our faculty and staff, we engage our students in a learner-centered environment and offer opportunities to prepare for the challenges of living in a global community."* The Board acts to uphold this mission through its approval of personnel and initiatives, and evaluation of leadership.

The Board supports and maintains its focus on the mission of SFA.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

ii. SFA Envisioned has the overarching goal of "Transformative Experiences for SFA Students." This goals states that SFA will be deeply committed to providing high impact, experiential learning for all SFA students; students will be engaged and empowered; and students will graduate with the marketable skills and qualities necessary to be leaders in their fields. The Board acts to support this overarching goal through its approval of personnel and initiatives, and evaluation of leadership.

The Board supports and maintains its focus on the overarching goal of SFA Envisioned.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

iii. SFA Envisioned has the foundational goal of "Meaningful and Sustained Enrollment Growth." This goal states that SFA will expand its reach and increase enrollment, not merely for the sake of growth, but because it is committed to its responsibility to Texans. It further adds this will be accomplished through an appropriate mix of programs, delivery methods and locations. The Board acts to support this foundational goal through its approval of personnel and initiatives, and evaluation of leadership.

The Board supports and maintains its focus on the foundational goal of SFA Envisioned.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

iv. SFA Envisioned has a supporting goal to "Attract and Support a High-Quality Faculty and Staff". This goal contains two broad strategies: (1) provide salary support that reflects the importance of current faculty and staff and aids in recruitment of new faculty and staff; and (2) provide attractive quality-of-life support and incentives to current and new faculty and staff that reflect a professional environment. The Board acts to support this supporting goal through its approval of personnel and initiatives, and evaluation of leadership.

The Board supports and maintains its focus on this supporting goal of SFA Envisioned.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

v. SFA Envisioned has a supporting goal to "Foster Academic and Co-Curricular Innovation." This goal has already implemented several recommendations from working groups, including the Student Success Center, funds for classroom furniture and technology, re-branding of the Center for Career and Professional Development, introduction of the Lumberjack GROW program, and a marketing campaign aimed at the development of soft skills. Teams are currently reviewing recommendations regarding educator development opportunities and co-curricular programs. Other strategy teams include student mentoring and affordability. The Board acts to support this supporting goal through its approval of personnel and initiatives, and evaluation of leadership.

The Board supports and maintains its focus on this supporting goal of SFA Envisioned.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

vi. SFA Envisioned has a supporting goal to "Redefine University Culture." The goal focuses on increasing employee engagement in three areas: (1) leadership enhancement programs; (2) paradigm change from a culture of compliance to one of goal/value based initiatives; and (3) cultural construction and communication. The Board acts to support this supporting goal through its approval of personnel and initiatives, and evaluation of leadership.

The Board supports and maintains its focus on this supporting goal of SFA Envisioned.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

vii. SFA Envisioned has a supporting goal to "Increase Connections." This goal includes building relationships with a variety of constituents, including K-12, two-year institutions, local government, alumni, and corporate partners. The Board acts to support this supporting goal through its approval of personnel and initiatives, and evaluation of leadership.

The Board supports and maintains its focus on this supporting goal of SFA Envisioned.

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree

□ *Steps for Improvement:* _____

Evaluation

Considering the board self-evaluations are a SACSCOC requirement and a best practice, what improvements can be made to the self-evaluation processes?

_____
_____
_____

This evaluation of the Stephen F. Austin State University Board of Regents has been carefully considered and consisted of a critical assessment of Board structure and governance by all regents present on this, the ____ day of July, 2022.

_____
Chair, Board of Regents

FACULTY AND STAFF 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.

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 faculty and staff appointments be approved as presented.

FACULTY AND STAFF APPOINTMENTS

Type (Faculty/Staff)	Employee Name	New Title and Department	New Salary-New Term Length - New FTE	Effective Date
Staff	Marcus Trice	Football Assistant Coach - Athletics	$50,000-Annual - 100%	3/14/2022
Staff	Mitchell White	Football Assistant Coach - Athletics	$50,000-Annual - 100%	3/4/2022
Staff	Dallas Cameron	Men's Basketball Assistant Coach - Athletics	$91,000-Annual - 100%	5/11/2022
Staff	Holly Randall	Counselor - Counseling Services	$55,400-Annual - 100%	4/14/2022
Staff	Lacey Bradshaw	Contracting Specialist II - Procurement & Business Services	$46,000-Annual - 100%	3/1/2022
Staff	Jeremy Pickett	Emergency Management Coordiantor - University Police Department	$72,000-Annual - 100%	3/14/2022

Time Period Reporting: 3/1/22 - 5/31/22

STAFF APPOINTMENTS

Employee Name	
Richie Bruister	Head Coach of Softball. 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.
Hadrian Choukran	Co Head Coach of Track/Field. 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.

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 changes of status be approved as presented.

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
Shannon Morrison	Student Success Coordinator - Academic Advising	$41,000-Annual - 100%	Career Coordinator - Center for Career and Professional Development	$41,000-Annual - 100%	5/23/2022
Alisha Collins	Lecturer - Accounting	$65,000-Academic - 100%	Budget Director of Academic Affairs - VP Academic Affairs	$92,700-Annual - 100%	5/16/2022
Jordan Cunningham	Greenhouse Technician - Agriculture	$31,073-Annual - 100%	Environmental Education Program Coordinator - Agriculture	$41,599-Annual - 100%	3/1/2022
Steffany Newsome	Risk & Compliance Auditor - Audit Services	$64,272-Annual - 100%	Assistant Director - Office of Financial Reporting	$85,000-Annual - 100%	4/1/2022
Kendall Rocha	Risk & Compliance Auditor - Audit Services	$62,000-Annual - 100%	Risk & Compliance Auditor II - Audit Services	$70,300-Annual - 100%	5/1/2022
Megan Kelley	Academic Advisor II - COE Academic Services	$42,920-Annual - 100%	Senior Admissions Counselor - Admissions	$42,920-Annual - 100%	3/28/2022
Stephanie Strahl	Academic Advisor III - COE Academic Services	$46,479-Annual - 100%	Academic Advisor III - COE - Student Services & Advising	$48,354-Annual - 100%	4/12/2022
Leslie Ornelas	Assistant Teacher - Early Childhood Laboratory	$25,000-Annual - 100%	Lead Teacher - Early Childhood Laboratory	$36,000-Annual - 100%	5/30/2022
LaShanda Parkhurst	Counselor II - Financial Aid	$47,643-Annual - 100%	Assistant Director - Financial Aid	$52,875-Annual - 100%	5/2/2022
Teneka Fowler	Representative - Human Resources	$41,000-Annual - 100%	Coordinator - Office of Institutional Effectiveness	$47,000-Annual - 100%	3/1/2022
Ross Bowman	Systems Programmer I - Information Technology Services	$50,000-Annual - 100%	Systems Programmer II - Information Technology Services	$57,000-Annual - 100%	3/1/2022
Christopher Cotton	ETRC Archive Associate - Library	$39,585-Annual - 100%	University Archives and Research Coordinator - Library	$47,500-Annual - 100%	4/1/2022
Ja'von Long	Assistant Director - Multicultural Affairs	$47,000-Annual - 100%	Interim Coordinator - Student Engagement -Fraternity and Sorority Life	$47,000-Annual - 100% with monthy stipend of $1,500/month-3 months	3/1/2022
Gary Wurtz	Director/Professor - Music	$112,477-Annual - 100%	Dean - College of Fine Arts	$170,000-Annual - 100%	5/1/2022
Jacob Seamans	Accountant III - Office of Financial Reporting	$63,872-Annual - 100%	Director - Office of Financial Reporting	$105,000-Annual - 100%	3/1/2022
Jordan Rains	Student Compliance Specialist - Office of the Registrar	$38,000-Annual - 100%	Program Director - Athletics - Compliance & Academic Eligibility	$42,000-Annual - 100%	5/31/2022
Andrew Roybal-Cano	Student Compliance Specialist - Office of the Registrar	$38,325-Annual - 100%	One Stop Manager - Axe Handle	$48,000-Annual - 100%	4/18/2022
Choya Coleman	Program Card Coordinator - Procurement & Business Services	$42,889-Annual - 100%	Project and Accessibility Coordinator - IT Services - Banner Project Management	$49,500-Annual - 100%	5/2/2022

Time Period Reporting: 3/1/22 - 5/31/22

CHANGE OF STATUS - STAFF

Employee Name	
Debbie Humphreys	Head Coach of Volleyball. 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.
Tony Minatta	Head Coach of Soccer. 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.
Erin Scott	Head Coach of Tennis. 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.
Amber Lemke	Head Coach of Bowling. 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.
Ron Hansen	Co Head Coach of Track/Field and Cross Country. 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.

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 Assistant Professor, effective September 1, 2022

Allison Younger	Nursing
Katy Trotty	Nursing
Kesha Becnel	Nursing
Keli Sheree Barrios	Nursing

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:

Bidisha Sengupta	Chemistry & Biochemistry

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
Faculty	Thomas Branton	Accounting	Assistant Professor	5/31/2022	5
Faculty	Lynn Greenleaf	Mathematics and Statistics	Associate Professor	5/31/2022	9
Faculty	Josephine Taylor	Biology	Professor	5/31/2022	30

Time Period Reporting: 3/1/22 - 5/31/22

Academic and Student Affairs Committee

ADDITIONAL CURRICULUM CHANGE FOR 2022-23

Explanation:

The Department of Computer Science requests to change the CIP code for the Master of Science in Cyber Security. A CIP code is a six-digit number used by the United States Department of Education and the Texas Higher Education Coordinating Board to identify academic degree programs. When the MS in Cyber Security was created, there were a limited number of CIP codes for identifying computer science degree programs. Since that time, the field has greatly diversified, and cyber security has become its own branch of computer science with multiple CIP codes for identifying different types of cyber programs. SFA's program is more investigatory than policy based, making it a superior program that should qualify as a STEM program. However, its current CIP code is more appropriate to policy based cyber programs and excludes STEM classification. Cyber programs classified as STEM can attract more international students and are competitive for more grant funding opportunities. Therefore, the department needs to update the CIP to reflect the MS in Cyber Security's true nature as an investigatory program.

Recommendation:

It is recommended by the administration that the Board of Regents approve the curriculum change to the MS in Cyber Security to be effective Fall 2022.

CHARTWELLS AGREEMENT AMENDMENT/MOU

Explanation:

The University's Dining Services Program Master Services Agreement with Compass Group USA, Inc. by and through its Chartwells Division ("Chartwells") to provide food service on campus contains provisions that outline a material change to the agreement. Per the contract, a material change event occurs when a change in the contractual assumptions as defined in the original scope of work results in a variance of 10% or more to Chartwells' net financial return.

Chartwells has submitted notice of a material change event based on a variance of 14.8% in Chartwell's net financial return over the past year compared to the assumption contained in the original scope of work. This variance was created by a smaller number of meal plan subscribers than projected.

After review by university and Chartwells officials, the parties propose suspending the Innovation Fund for year one of the contract (September 1, 2021 through September 30, 2022) as remediation of the material change event, as outlined in the attached Memorandum of Understanding (MOU).

Recommendation:

The administration recommends that the President be authorized to sign the attached MOU between the university and Compass Group USA, Inc. by and through its Chartwells Division suspending the monthly accrual of 2.7% Net Sales towards the Innovation Fund for year one of the agreement (September 1, 2021 through September 30, 2022).

HOLIDAY SCHEDULE FOR 2022-2023

Explanation:

Fourteen holidays are allowed by the state for 2022-2023. The following schedule will allow SFA to be closed for three working days at Thanksgiving, six working days during Christmas, Martin Luther King, Jr Day, five working days during Spring Break, Memorial Day, Juneteenth, and Independence Day which totals 18 days. Employees will be required to take two days of paid leave on December 29 and 30, and two days of paid leave on March 9 and 10.

November 23 - 25	Thanksgiving Break
December 23 - January 1	Christmas/Winter Break
January 16	Martin Luther King, Jr. Day
March 6 - 10	Spring Break
May 29	Memorial Day
June 19	Juneteenth
July 4	Independence Day

Offices scheduled to be available: Admissions, Financial Aid, Registrar, Student Business Services, Residence Life, and University Police Department

Recommendation:

The administration recommends approval of the holiday schedule for 2022-2023 as presented.

LEARNING MANAGEMENT SYSTEM RENEWAL

Explanation:

SFA uses Brightspace by D2L Ltd (Desire2Learn) as its learning management system (LMS). An LMS is a software application for the administration, documentation, tracking, reporting, and delivery of educational courses or supplemental course materials online. The cloud-based system allows secure access to course materials for students, faculty, and employees of SFA. Functions of the system include course creation, lesson management, testing, grading, and communication. In addition, the system provides predictive analytics, student success tracking, adaptive learning, and added support. We could not offer distance education courses without the LMS.

The current contract with D2L Ltd expires on December 17, 2022. The Center for Teaching & Learning assessed the potential impact of changing LMS vendors and noted alternatives available to D2L Ltd. The Distance Education Committee voted to renew with D2L Ltd.

The five-year contract totals $1,030,368.30 and requires annual payments of $206,073.66.

Recommendation:

The administration recommends to contract with D2L Ltd for a learning management system and associated service and maintenance costs at an annual cost of $206,073.66 for a period of five years, through December 17, 2027, at a cost not to exceed $1,030,368.30. As the LMS is cloud-based, HEF funds will be used for the purchase. The president is authorized to sign the associated contract and purchase order(s) in accordance with policy 1.4, Items Requiring Board of Regents Approval.

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:

Accessibility of Electronic Information Resources 16.9
Advanced Placement Guidelines 6.5
Animals on University Property 13.2
Authority to Act in the Absence of the President 2.4
Children in the Workplace 13.15
Compliance with the Americans with Disabilities Act and the ADA Amendments Act 2.5
Comprehensive Scholarship Administration 3.31
Grievance and Appeals 11.15
Intellectual Property 9.4
Interlibrary Loan Services 4.11.1
Library Borrowing 4.11.2
Library Non-Monetary Gifts 4.11.3
Military Service Activation 6.14
Missing Student Notification 13.13
Outside Employment 11.19
Parking and Traffic Services 13.14*
Policy Development and Format 1.6
Reasonable Workplace Accommodation for Disabilities 11.22
Satisfactory Academic Progress for Financial Aid Recipients 6.16
Second Baccalaureate Degrees 6.18
Small-Size Classes 7.26*
Student Code of Conduct 10.4
Texas Comprehensive Research Fund 8.10
Title IX 2.13

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

13.14 – Parking Services

7.26 – Course Enrollment

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Accessibility of Electronic Information Resources

Policy Number: 16.9

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: ITS

Purpose of Policy (what does it do): Establishes standards for electronic and information resources (EIR) including: software applications and operating systems; telecommunication products; video and multimedia products; self-contained closed products; desktop and portable computers; and procurement of these products as required by DIR.

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: Revised to allow for a temporary appointment of an Electronic Accessibility Coordinator.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Anthony Espinoza, Chief Information Officer
Damon Derrick, General Counsel

Accessibility of Electronic Information Resources

Original Implementation: October 18, 2010

Last Revision: ~~July 23, 2019~~ *July 26, 2022*

Stephen F. Austin State University is committed to making electronic information resources accessible to all users. Chapter 213 of the Texas Administrative Code (TAC) establishes standards for electronic and information resources (EIR) including: software applications and operating systems; telecommunication products; video and multimedia products; self-contained closed products; desktop and portable computers; and procurement of these products.

In order for EIR products or service to be considered accessible, the product should offer an alternate format or method for providing information, including product documentation, to people with disabilities. Additionally, it should work with assistive technology commonly used to increase, maintain, or improve functional capabilities for individuals with disabilities.

Electronic Accessibility Coordinator (EAC)

The university president or university information resource manager *(IRM)* shall designate an Electronic Accessibility Coordinator to develop, support, and maintain EIR accessibility rules, standards, and procedures, and assist university personnel with relevant training information for EIR accessibility. The coordinator will chair the Electronic Accessibility Team (EAT) and may be contacted at accessibility@sfasu.edu. *The IRM may appoint a temporary Electronic Accessibility Coordinator in the event the Electronic Accessibility Coordinator vacates the role until a permanent Electronic Accessibility Coordinator is appointed. The temporary appointment may not exceed 30 days.*

Compliance

For compliance review purposes, all EIR vendors/companies must provide accessibility information in accordance with state law.

Web Accessibility

All official and affiliated university Web pages intended for public viewing shall be accessible to, and usable by, all users and compliant with TAC Chapter 206.70, unless an exception is approved by the president, or an exemption has been made.

Web developers shall follow guidelines established by Chapter 206 of the TAC, Section 508 of the Rehabilitation Act, as amended, to the extent required under law, and criteria established by university procedures to improve the accessibility of all university websites.

Web Accessibility Link

Each university website that provides entry to members of the public must contain a "Web Accessibility" link to the Electronic Accessibility Site. This site contains the university's Web accessibility policy and contact information for the university's EAC.

Suggestions and Concerns

Existing website compliance issues can be addressed to the EAC by sending name, contact information, the nature of the accessibility problem, and the website address or specific Web page of concern to accessibility@sfasu.edu.

Grievances

If a user has a complaint about the accessibility of Stephen F. Austin State University websites, or access to other electronic equipment, he/she should notify the EAC at accessibility@sfasu.edu. The EAC, or designee, will contact the complainant regarding the issue and attempt to resolve the complaint. The complainant is expected to cooperate with the EAC and appropriate university personnel in the process of determining a resolution. The EAC will make recommendations to the relevant university departments and officials responsible for making electronic and information resources accessible.

Additional Information and Resources

Additional information about accessibility programs in Texas is available from the Governor's Committee on People with Disabilities, Information Technology Industry Council (ITI).

EIR Category	Technical Accessibility Standards
Software Applications and Operating Systems	1 TAC §213.30
Websites	1 TAC §206.70 Web Content Accessibility Guidelines (WCAG) 2.0, Level AA
Telecommunications Products	1 TAC §213.31
Video and Multimedia Products	1 TAC §213.32
~~Self-Contained, Closed Products~~*Hardware*	1 TAC §213.33
~~Desktop and Portable Computers~~	~~1 TAC §213.34~~
Functional Performance Criteria	1 TAC §213.35
Support ~~Information, D~~*D*ocumentation *and Services*~~, and Support~~	1 TAC §213.36
Compliance Exceptions and Exemptions	1 TAC §213.37
Procurements	1 TAC §213.38
Accessibility Training and Technical Assistance	1 TAC §213.39
Accessibility Survey and Reporting Requirements	1 TAC §213.40
EIR Accessibility Policy and Coordinator	1 TAC §213.41

Cross Reference: ~~Purchase~~ *Procurement* of Electronic and Information Resources (17.16); University Website (15.10); ~~Web Accessibility Page;~~ 1 Tex. Admin. Code §§ 206.1-.2, .70-.75; 1 Tex. Admin. Code §§ 213.1-.2, .30-.41; Tex. Gov't Code §§ 2054.451-.465; Section 508 of the Rehabilitation Act, as amended, 29 U.S.C. § 794d; 36 C.F.R. 1194

Responsible for Implementation: Chief Information Officer

Contact for Revision: Electronic Accessibility Coordinator

Forms: Electronic Accessibility Exception Request Form Voluntary Product Accessibility Template (VPAT ®)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Advanced Placement Guidelines

Policy Number: 6.5

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: Provost and Executive Vice President for Academic 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 <u>each</u> 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

Advanced Placement Guidelines

Original Implementation: September 4, 1979
Last Revision: July ~~23, 2019~~*26, 2022*

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

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

To make revisions to course credit earned through AP, CLEP, and IB, academic units will submit recommendations through the dean to the Undergraduate Council's Curriculum Committee. An academic unit proposing a score of more than three (3) on a corresponding AP exam *or a score higher than the minimum score recommended by the American Council of Education on a corresponding CLEP exam* must submit a request to the provost justifying the need for a higher score. A request for a score higher than three (3) must include evidence that a higher score is needed to indicate the student's sufficient preparation for related, more advanced courses for which the lower-division course is a prerequisite.

Individual academic units may initiate an internal advanced placement program (i.e., a system that allows students to bypass certain courses). Academic units will submit requests via a memorandum to offer internal advanced placement programs through the dean of the college to the Undergraduate Council's Curriculum Committee for approval. Academic units will update their advanced placement programs as part of the university's general bulletin revision process.

Cross Reference: General Bulletin, Student Handbook and Activities Calendar~~,~~*;* Tex. Educ. Code § 51.968

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

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

Forms: SFA Advanced Placement Justification

Board Committee Assignment: Academic and Student Affair

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Animals on Univeristy Property

Policy Number: 13.2

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

Date of last revision, if applicable: 1/20/2020

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

Purpose of Policy (what does it do): Defines the categories of service animals, emotional support animals and recreational animals and outlines their level of presence permitted on campus and in campus facilities. Guidelines and responsibilties of the handler are also listed.

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: Disability services will be the clearinghouse and first-level approver of emotional support animals in on-campus housing. Second-level approver will be campus living (residence life).

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Carrie Charley, Executive Director of Campus Living, Dining, and Auxiliary Enterprises
Tiffany Rivers, Director of Disability Services
John Fields, Executive Director and Chief of University Police
Brandon Frye, Vice President of Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

Jeremy Higgins, Director, Environmental Health, Safety & Risk Management
Damon Derrick, General Counsel

Animals on University Property

Original Implementation: Unpublished
Last Revision: ~~January 28, 2020~~*July 26, 2022*

The university seeks to uphold federal, state, and local laws and regulations; ensure the health and safety of its community; preserve the integrity of its grounds, buildings, and other property; and support a healthful educational environment that respects the rights of all individuals.

Service animals are welcome in all buildings on campus and may attend any class, meeting, or other event. Individuals with documented disabilities residing in university housing may request as an accommodation that an emotional support animal (ESA) be allowed to reside in the campus residence; however, ESA's are not permitted anywhere outside of the individual's assigned living space except as otherwise provided by this policy. Community members may take advantage of the several recreational areas on campus by walking ~~personal~~ animals and are allowed to do so within the guidelines set forth. Reasonable behavior is expected from the animals while on campus. If the animal exhibits unacceptable behavior *(ex. the animal that exhibits violent, uncontrollable, aggressive, or unhealthy behavior)*, the handler is expected to employ the proper training techniques to correct the situation.

~~Consideration of o~~*O*thers ~~may~~ *should* be ~~taken into account~~*considered* when providing for the maintenance and hygiene of service animals. Additionally, specific guidelines have been established concerning service and emotional support animals living in a campus residency environment.

Section I. Definitions
Section II. Service Animals
Section III. Emotional Support Animals
Section IV. Handler or Owner Responsibility
Section V. Residence Life and Food Service Guidelines
Section VI. Information and Appeals

Section I. Definitions

A. Handler:
A person with a disability using a service animal; a person who has received approval for an emotional support animal; or a person in possession of an animal for recreation on the university campus.

B. Service Animal:
Any dog, or miniature horse, that is individually trained to do work or perform tasks for the benefit of an individual with a disability, including a physical, sensory, psychiatric, intellectual, or other mental disability. Other species of animals, whether wild or domestic, trained or untrained, are not service animals for the purposes of this definition. The work or

tasks performed by a service animal must be directly related to the handler's disability. The crime deterrent effects of an animal's presence and the provision of emotional support, well-being, comfort or companionship do not constitute work or tasks for the purposes of this definition.

C. Emotional Support Animal:
An animal that provides emotional support or therapeutic benefits that alleviate one or more of the identified symptoms or effect of a person's disability; however, the animal is not required to be individually trained or certified to perform such task. Emotional support animals may also be referred to as "comfort animals," "companion animals," and "assistance animals" used to support individuals with mental or emotional disabilities. These animals may provide crime deterrent effects or emotional support, well-being or comfort.

D. Recreational Animal:
A domestic animal used for sport, companionship, or other non-service/assistance functions. Recreational animals are not allowed inside university facilities. ~~An~~ *E~~e~~xception*s* would be small birds in cages and fish in a 10-gallon or less aquarium.

E. Unauthorized Animal:
Any animal not controlled by leash or harness, unless the animal is a service animal and the handler is unable because of disability to use a leash or harness or if the leash or harness restricts the service animal to function appropriately as such. Also, any animal that exhibits violent, uncontrollable, aggressive, or unhealthy behavior, including service and emotional support animals.

Section II. Service Animals

A. University Responsibility

1. Allow service animals to accompany the handler to all areas of the facility where the handler is normally allowed to go. A handler may not be segregated from other similar members of the campus community except where there is real danger to the animal or where the natural organisms carried by the service animal would adversely affect research. Exceptions to the exclusions will be reviewed on a case-by-case basis *by the appropriate university authority*.
2. Not to pet, feed, or deliberately startle/disturb a service animal.
3. Not to separate, or attempt to separate, service animals from their handlers.
4. Provide handlers living in campus housing with an area for relieving and grooming their animals.

B. Inquiries

1. When it is not obvious what service an animal provides, the handler may be asked:

a. If the animal is a service animal required for a disability; and
b. What work or task the animal has been trained to perform.

2. Staff may not ask about the person's disability, require medical documentation, require certification of the dog's training, or ask that the dog demonstrate its ability to perform the work or task.
3. Use of miniature horses as a service animal will be reviewed based on the inquiries and exceptions listed below and allowed by law.

C. Service Animal in Training

1. Individuals who desire an accommodation for a service animal in training must ~~also~~ abide by all relevant provisions of this policy.
2. An animal being trained to be a service animal will be treated as a fully trained animal when accompanied by a handler and identified as such.

D. Exceptions

1. Service animals may be denied or removed if:
   a. The animal is out of control and its handler does not take effective action to control it. The service animal is considered an extension of the handler and thus, is subject to the same code of conduct as the handler.
   b. The animal is not housebroken (i.e., trained so that, absent illness or accident, the animal controls its waste elimination).
   c. The animal poses a direct threat to the health or safety of others that cannot be eliminated or reduced to an acceptable level by reasonable accommodation.

Section III. Emotional Support Animals

A. Inquiries

1. Requests for an emotional support animal (ESA) may be made by individuals with documented disabilities residing in university housing.
2. If the animal does not meet the definition of service animal, the individual must engage in a reasonable accommodation request with *Disability Services and Campus Living (*Residence Life*)* ~~or Disability Services~~ staff.
3. *Disability Services and Campus Living*~~Residence Life or Disability Services~~ may ask individuals who have disabilities that are not readily apparent or known to the university official to submit reliable documentation of a disability and their disability-related need for an ESA within the residence hall. The individual is not required to disclose medical information that is overly intrusive and invasive in order to receive an accommodation.
4. A person qualifies for reasonable accommodation if:
   a. The person has a documented disability;

b. The animal is necessary to afford the person with a disability an equal opportunity to use and enjoy the residence halls; and
c. There is an identifiable relationship between the disability and the assistance the animal provides.

B. Exceptions

1. Emotional support animals may be denied or removed if:
   a. The specific animal would impose an undue financial and administrative burden or would fundamentally alter the nature of a service or program.
   b. The specific animal in question poses a direct threat to the health or safety of others that cannot be reduced or eliminated by another reasonable accommodation; or
   c. The specific animal in question would cause substantial physical damage to the property of others that cannot be reduced or eliminated by another reasonable accommodation.
   d. The specific animal in question is not being cared for by the handler.

Section IV. Handler or Owner Responsibility

A. Authorized Animals

1. Handlers must abide by all state laws, Nacogdoches city ordinances related to animals in the city of Nacogdoches, and SFA guidelines, including by not limited to:
   a. All animals in the city must have a valid license and tag issued by the city of Nacogdoches at the Department of Animal Control. The license and tag must be reviewed annually.
   b. The handler is required to provide a collar or harness for the license and vaccination tags to be affixed. The handler shall see that the animal wears the collar and tags at all times.
2. The handler is liable for damages caused by the service animal, emotional support animal, or recreational animal.
3. The handler is responsible for the care and supervision of a service animal, emotional support animal, or recreational animal.
4. The handler must have full control of the animal at all times. Animals may not run at large; a leash or harness is required unless the handler is unable because of disability to use a leash or harness or it restricts the animal's ability to function properly.
5. Disturbing animal vocalization must be kept to an absolute minimum.
6. Handlers are responsible for relieving animals in designated locations and must ensure immediate clean-up and proper disposal of animal waste.
7. The handler must observe *on-campus* housing and food service establishment guidelines.
8. All service/emotional support animals must have an annual clean bill of health from a licensed veterinarian. The animal's cleanliness is mandatory in the campus environment.

9. Vaccinations must be current and based on a veterinarian's recommendations, with records made available at time of request.
10. Daily grooming and occasional baths (at a vet or a family home) should be undertaken to keep the ~~service~~ animal's odor to a minimum.
11. Flea control is essential and adequate preventative measures must be taken. If a flea problem develops, it must be dealt with immediately and in an effective manner. In the event a flea problem is not eliminated by the handler, the university will exterminate the *applicable* property and assess the handler the standard extermination fee.

B. Unauthorized Animals

1. In the event an unauthorized animal is discovered on or in university property, except residence halls, the University Police Department should be notified immediately. The responding officer may take appropriate action, up to and including ordering the handler or owner to remove the unauthorized animal from university property, or by contacting the Nacogdoches Animal Control Officer who will take possession of the animal and remove it from campus.
2. In the event an unauthorized animal is discovered in a university residence hall, the appropriate residence hall staff shall be notified immediately. The residence hall staff will attempt to contact the owner/handler of the unauthorized animal for removal. If the owner/handler cannot be contacted, the residence hall staff will contact the University Police Department for removal as indicated in this policy.

Section V. Residence Life and Food Service Guidelines

1. Occupants of university housing are not permitted to keep pets, except birds in cages and fish in aquariums.
2. Full-time professional live-in staff may have fish living in an aquarium (10-gallon maximum) and birds in a cage. In addition, upon executing an approved live-in staff pet agreement, the staff members may have either one (1) cat or one (1) dog.
3. Service animals are permitted to accompany the individual with a disability to all areas of the facility where persons are normally allowed to go.
4. Emotional support animals are not permitted anywhere outside of the individual's assigned living space; exceptions may be made on a case-by-case basis from Residence Life or Disability Services.
5. Service/emotional support animals should be kept under control. Animals should always be on a leash except when in the student's room with the door closed unless the leash restricts the service animal's ability to function appropriately.
6. Animal food should be kept in a covered storage container to deter pests.
7. An animal's paws must be kept off tables, trays, and food service counters at all times.

Section VI. Information and Appeals

Questions and concerns regarding the use of service/emotional support animals on university property should be directed to the ADA coordinator who serves as an advisor for procedures and access to programs and services.

For specific information regarding accessibility, refer to university policy 2.2, Accessibility for Persons with Disabilities. For specific information regarding resolution of disagreements, refer to university policy 6.6, Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities. For issues related to Discrimination, refer to university policy 2.11, *Nond*~~D~~iscrimination. ~~Complaints.~~

Cross Reference: 28 C.F.R. § 35.136 (2010); Nacogdoches, Tex., Rev. Ordinances ch.6, art. III, §§ 32-33 (2008); Accessibility for Persons with Disabilities (2.2); Appeal Procedure Relating to the Provision of Accommodations for Students with Disabilities (6.6); *Nond*~~D~~iscrimination ~~Complaints~~ (2.11)

Responsible for Implementation: Vice President *of*~~for~~ ~~University~~ *Student* Affairs, *Chief Diversity Officer*

Contact For Revision: Chief of University Police, Director of Disability Services, and *Associate* Director of Residence 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: Authority to Act in the Absence of the President

Policy Number: 2.4

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

Date of last revision, if applicable: 10/28/2019

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Provides delegation of authority in the absence of the president.

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: Updated position titles.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Steve Westbrook, Interim President
Damon Derrick, General Counsel

Authority to Act in the Absence of the President

Original Implementation: February 23, 1978
Last Revision: ~~October 28, 2019~~ *July 26, 2022*

In the absence of the president the authority to act in his*/her* place is delegated in the following order, depending upon the presence of the individual on the campus:

1. Provost/*Executive* Vice President for Academic Affairs
2. Vice President ~~for~~ *of* ~~University~~ *Student* Affairs
3. Vice President for Finance and Administration
4. Vice President for University Advancement

The individual administrative officer acting under this delegation of authority is to handle administrative situations in accordance with the recognized operating procedures of the university ~~in the absence of the president~~. (The line of succession for emergency operations is outlined in the university's Emergency Operations Plan).

He/She may take such action as he/she deems necessary, dependent upon the circumstances of a particular situation, when the president cannot otherwise be reached to make such decisions. As soon as possible and practical, the president shall be informed of any decision or unusual incident and the action taken. No unusual or major decision embodying significant commitments on behalf of the university will be made without consulting the president.

Should the president be temporarily unable to perform his/her duties, the process for naming an acting president is contained within the Rules and Regulations of the Board of Regents.

Cross Reference: Rules and Regulations of the Board of Regents; Emergency Operations Plan

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs Committee

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Children in the Workplace

Policy Number: 13.15

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

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

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

Purpose of Policy (what does it do): The purpose of this policy, which applies to all Stephen F. Austin State University (SFA) employees, is to support the university's commitment to fostering a healthy balance between workplace obligations and family.

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: No changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Children in the Workplace

Original Implementation: July 23, 2019
Last Revision: *July 26, 2022*~~None~~

Purpose

The purpose of this policy, which applies to all Stephen F. Austin State University (SFA) employees, is to support the university's commitment to fostering a healthy balance between workplace obligations and family. The university welcomes young children and families to the campus while at the same time providing guidelines to protect the safety of children in the workplace and to maintain a professional workplace environment.

This policy is not intended to apply to situations including, but not limited to, children utilizing facilities that are open to the public and whose age is appropriate for them to be unsupervised; children attending special occasions that are employer-sponsored, scheduled during the regular work day and where attendance by children is encouraged; or children accompanying a parent or guardian during hours other than the official university hours as defined by university policy.

Definitions

Minor child is defined as any individual under the age of 13.

Caregiver is defined as a family member or friend who looks after a minor child in the stead of a parent.

General

SFA understands that visits by children in the care of its employees occur for a variety of reasons, however, the following principles apply:

1. Minor children remain the sole responsibility of the SFA employee that is the child's parent or caregiver including the supervision of the child while the child is on campus. No other SFA employee should be asked or expected to supervise a child while the employee is on university time.
2. The presence of the minor child cannot disrupt the workplace.
3. Minor children not participating in SFA sponsored activities are prohibited from areas where significant potential safety hazards or liabilities exist and where strict safety precautions are required. These areas might include, but are not limited to, storage rooms, equipment rooms, and certain athletic facilities such as training rooms, courts, fountains, swimming pools, playing fields, and laboratories.
4. Employees may not bring minor children to campus as a substitute for regular childcare.

Failure to Comply

The employee's supervisor may ask the employee to remove the minor child from the workplace. Continuous failure to comply with this policy could result in disciplinary action up to and including termination of employment. Disciplinary action will be in accordance with Policy 7.11, Faculty Code of Conduct, or Policy 11.4, Discipline and Discharge.

Cross Reference: Faculty Code of Conduct (7.11); Discipline and Discharge (11.4); Working Hours and Holidays (12.24)

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

Contact for Revision: Director of Human Resources

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Compliance with the Americans with Disabilities Act and the ADA Amendments Act

Policy Number: 2.5

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: Chief Diversity Officer

Purpose of Policy (what does it do): Outlines university intent to comply with federal laws protecting the rights of persons with disabilities and the measures taken to prohibit discrimination.

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: No changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Tiffany Rivers, ADA Coordinator
Michara DeLaney-Fields, Chief Diversity Officer
Damon Derrick, General Counsel

Compliance with the Americans with Disabilities Act and the ADA Amendments Act

Original Implementation: October 19, 1993
Last Revision: July ~~23, 2019~~*26, 2022*

~~The Americans with Disabilities Act and ADA Amendments Act of 2008 acknowledge the findings of congress that millions of Americans have one or more physical or mental disabilities. The legislation provides a comprehensive national mandate for the elimination of discrimination against individuals with disabilities.~~

~~It is the intent of the Board of Regents of~~ Stephen F. Austin State University ~~to~~ *will* comply with ~~both the letter and the spirit of~~ the Americans with Disabilities Act (ADA) and the ADA Amendments Act of 2008 (ADAAA), as well as the Rehabilitation Act of 1973 and other laws protecting the rights of persons with disabilities. Compliance measures should address the necessity to provide opportunities to qualified persons with disabilities in employment and in access to education, where this will not pose an undue burden or fundamentally alter the programs of the institution. ~~The board recognizes that compliance with the ADA and ADAAA requires increased awareness of all university employees and a commitment of institutional resources. Further, it is the intent of the board to continue this institution's strong commitment to meeting the special needs of individuals with disabilities, and that this commitment remain an integral part of the educational mission and service component of Stephen F. Austin State University.~~

~~It is the intent of this institution that ADA c~~*C*ompliance measures shall include the following:

- Diligently pursue the identification and elimination of physical, communication and attitudinal barriers to activities, programs, or services operated or sponsored by the institution, including employment, academic criteria, student and public services, and facilities.
- Implement procedures for raising awareness of the requirements of the ADA throughout the institution;
- Provide coordinated and timely response to requests from individuals with disabilities;
- Create a task force to support the efforts of an ADA coordinator and ensure continued sensitivity to special needs of individuals with disabilities.

~~University policy prohibits unlawful discrimination on the basis of race, color, religion, sex, age, national origin, disability, genetic information, citizenship, and veteran status. Additionally, the university prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression.~~

Definition:

Discrimination on the basis of disability includes:

- to limit, segregate, or classify a job applicant or employee in a way that may adversely affect opportunities or status because of the applicant's or employee's disability;
- to participate in a contract ~~which could~~*that has the effect of* subject*ing* an applicant or employee with a disability to discrimination;
- to use any standards, criteria or method of administration ~~which could~~*that* have the effect of discriminating on the basis of disability;
- to deny equal jobs or benefits because of a disability;
- to fail to make reasonable accommodations for known physical or mental limitations of an otherwise qualified individual unless it can be shown that the accommodation would impose an undue hardship;
- to use selection criteria which exclude individuals with disabilities unless the criteria are job related and consistent with business necessity; and
- to fail to use employment tests in a manner that ensures that the test results accurately reflect the applicants or employee's skills or aptitude for a particular job.

Cross Reference: Americans with Disabilities Act of 1990 (ADA), 42 U.S.C. §§ 12101-12213 (2000); ADA Amendments Act of 2008, Pub. L. 110-325; Rehabilitation Act of 1973, Pub. L. No. 93-112, 87 Stat. 355

Responsible for Implementation: ~~Vice President for University Affairs~~*Chief Diversity Officer*

Contact for Revision: ADA Coordinator

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Comprehensive Scholarship Administration

Policy Number: 3.31

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: Office of Financial Aid and Scholarships

Purpose of Policy (what does it do): Statuatory Compliance

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:

Provided definitions and updated language for clarification. Updated office name, responsible parties and cross references.

Reviewers:

Rachele Garrett, Director of Financial Aid and Scholarships
Erma Brecht, Executive Director of Enrollment Management
Jill Still, Vice President for University Advancement
Damon Derrick, General Counsel

Comprehensive Scholarship Administration

Original Implementation: November 2, 2015
Last Revision: July ~~23, 2019~~*26, 2022*

The university has designed these guidelines to ensure fair treatment for all eligible students who apply for scholarship assistance, as well as the effective and compliant administration of scholarships. This policy does not apply to unaffiliated organizations who control the funding and selection of scholarship applicants.

Definitions:

1. *Student means a person who is currently enrolled at the university, or who is accepted for admission or readmission to the university, or who has been enrolled at the university in a prior semester and is eligible to continue enrollment.*
2. *Office of Financial Aid and Scholarships is the administrative area, which manages scholarships on behalf of the university.*
3. *Financial Assistance ~~&~~and Scholarship committee consists of representation from each of the academic colleges, and various other staff positions across campus selected by the Office of Financial Aid and Scholarships. The provost and executive vice president of academic affairs appoints academic college representatives.*
4. *Endowed Scholarships have been created using donor funds and have a scholarship agreement between said donor and the university and/or SFASU Foundation that designates the terms and qualifications to award that scholarship.*
5. *Entity is any university unit or affiliated organization that establishes a scholarship for students.*
6. *FOP is the abbreviation for university Fund, Organization and Program numbers.*

~~Scholarships are one form of financial aid. Stephen F. Austin State University (SFA) s~~Scholarships are provided through two primary sources: ~~SFA~~ *the university* and the SFASU Foundation. ~~The scholarship team, within the Office~~*The Office* of ~~Student~~ Financial ~~Assistance~~*Aid and Scholarships*~~,~~ is responsible for the oversight of the university's comprehensive scholarship program and acts as a liaison between academic departments, the SFASU Foundation, ~~the Office of Student Financial Assistance~~ *Aid and Scholarships* and ~~the Office of Enrollment Management~~*Admissions*. ~~The scholarship team~~*The Office of Financial Aid and Scholarships* will set deadlines, ensure departments adhere to scholarship guidelines, and verify funds are spent accordingly. This will ensure compliance with ~~the funding sources~~*scholarship* agreements and that institutional, state and federal regulations are met.

~~An outside entity not affiliated with the university who controls the funding and selection of applicants is not subject to this policy. Any funds received in this manner will be processed according to donor requirements and treated as an outside scholarship.~~

Scholarship Database System

The Office of ~~Student~~ Financial ~~Assistance~~ *Aid ~~&~~and Scholarships* ~~is the primary owner and~~ is

responsible for the management and maintenance of the scholarship database. The database provides a consolidated source for scholarship criteria, electronic scholarship applications, committee assignments, *available scholarship disbursement amounts,* and reports. *Endowed scholarships will be entered into the database.* ~~For any endowed s~~*S*cholarships ~~award that is provided to an SFA student, it must be~~ *that are not endowed may be entered into the database at the discretion of the Office of Financial Aid and Scholarships.* ~~documented in the scholarship software database.~~

Scholarship Establishment

~~It is the responsibility of the~~*Each* entity ~~to~~ coordinate*s* with the ~~scholarship team~~*Office of Financial Aid and Scholarships* ~~and~~ to ensure ~~that both the donor and the university objectives are met~~*correct scholarship management*. The entity ~~is responsible for sending all required~~*is required to submit the following: the FOP number, scholarship agreement, the intent of the scholarship and the eligibility date of scholarship disbursement.* ~~documentation to t~~*T*he Office of ~~Student~~ Financial ~~Assistance~~ *Aid and Scholarships* ~~when a scholarship is created or modified. The scholarship team is responsible for maintaining procedures to monitor scholarship funds.~~*develops and maintains procedures to monitor scholarships.*

Scholarship Processing

Any student wishing to receive *an endowed* scholarship ~~awards~~ must complete the official SFA scholarship application. ~~All students awarded scholarship funds will be required to complete a Conflict of Interest and Disclosure form. This information is recorded in the scholarship database and is accessible to the committees in order for them to make the candidate selection. It is the responsibility of the Office of Student Financial Assistance to coordinate all access and provide the procedures to the scholarship committee.~~

~~A post disbursement report is generated and sent to the appropriate parties. This report will contain scholarship recipient data. This report is used as notification of the scholarship disbursement.~~

~~The account manager of the scholarship program will determine whether funds should be repaid if the student withdraws from the university or no longer meets the eligibility criteria. In such situations, the account manager must notify the Office of Student Financial Assistant whether to charge back the funds and issue a bill to the student.~~*If there are no qualified applicants, the committee may select an otherwise eligible candidate.*

All students offered scholarships are required to complete a Conflict of Interest and Disclosure form.

Distribution of Scholarship Funds

To maximize scholarship- funding and aid in the recruiting ~~of top students,~~ *and retention of students, a pre-distribution form must be submitted to the Office of Financial Aid and Scholarships, by the responsible committee/department. –This will constitute recommendation and authorization of scholarship disbursement*~~all university scholarship awards must be distributed (fully awarded) to the best of the ability of the responsible department. In order for a scholarship award to be made all documentation must be provided to the Office of Student Financial Assistance and a pre-disbursement form completed.~~

A post disbursement report is generated and sent to the appropriate academic area as notification of

the scholarship disbursement. -The account manager of the scholarship FOP will determine whether funds should be repaid if the student withdraws from the university or no longer meets the eligibility criteria. In such situations, the account manager must notify the Office of Financial Aid and Scholarships whether to charge back the funds and issue a bill to the student.

~~**Scholarship Processing**~~

~~Any student wishing to receive scholarship awards must complete the official SFA scholarship application. All students awarded scholarship funds will be required to complete a Conflict of Interest and Disclosure form. This information is recorded in the scholarship database and is accessible to the committees in order for them to make the candidate selection. It is the~~

~~responsibility of the Office of Student Financial Assistance to coordinate all access and provide the procedures to the scholarship committee.~~

~~A post-disbursement report is generated and sent to the appropriate parties. This report will contain scholarship recipient data. This report is used as notification of the scholarship disbursement.~~

~~The account manager of the scholarship program will determine whether funds should be repaid if the student withdraws from the university or no longer meets the eligibility criteria. In such situations, the account manager must notify the Office of Student Financial Assistant whether to charge back the funds and issue a bill to the student.~~

Employee Conflict of Interest and Confidentiality

A conflict of interest can occur when personal interests affect the performance of a professional obligation to the university. ~~All SFA employees must report anything that may have a potential to be a conflict of interest.~~ All SFA employees who are part of a scholarship committee or have access to the scholarship software will be required to annually disclose potential conflicts of interest.

Cross Reference: Ethics (2.6);~~,~~ Gifts, Loans, Endowments, and Bequests (3.17); Tex. Educ. Code § 51.969

Responsible for Implementation: ~~Provost/*Vice President for Academic Affairs, Executive Director of Enrollment Management*, and Vice President for Academic Affairs and Vice President for University Advancement~~

Contact For Revision: Director of Financial Aid *and Scholarships*

Forms: SFA Scholarship application; Scholarship Authorization and Disclosure form; Employee Disclosure; Disbursement Form; Pre-Disbursement Form

Board Committee Assignment: Academic and Student Affairs Committee

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Grievance and Appeals

Policy Number: 11.15

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: President

Purpose of Policy (what does it do): It is the policy of the university to seek fair and equitable solutions to grievances arising from the employment relationship. This policy applies to all staff employees.

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: Category 1 grievances have been modified from a five step process to a four step process. Human Resources' authority to designate which step a grievance should begin has been formalized in policy. A formal hearing is only available in instances of termination when requested by the individual who filed the grievance, which is presented to a single hearing officer rather than a panel.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judi Kruwell, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Steve Westbrook, Interim President

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

Damon Derrick, General Counsel

Grievance and Appeals

Original Implementation: Unpublished
Last Revision: ~~April 30, 2019~~*July 26, 2022*

Purpose

It is the policy of the university to seek fair and equitable solutions to grievances arising from the employment relationship. This policy applies to all ~~non-academic~~ staff employees.

Definitions

Category I *G*~~g~~rievances consist of disciplinary actions resulting in involuntary terminations, demotions, decreases in salary, or suspensions without pay, and allegations of a violation of, or retaliation for the exercise of, constitutional rights.

Category II *G*~~g~~rievances consist of issues pertaining to wages, hours, working conditions, performance evaluations, merit raises, job assignments, interpretation of the official personnel or administrative policies of the university as applied to the grievant, oral or written reprimands, or similar matters involving management decisions concerning the grievant.

General

Grievances have been divided into two categories. A ~~five~~*four*-step grievance procedure for Category I grievances has been established for prompt and thorough consideration of employee grievances and to ensure due process of law. A shorter two-step procedure is provided for Category II grievances.

Each employee may, without prejudice or fear of retaliation, express his/her grievance through the channels outlined in this procedure for timely and thorough consideration. ~~-~~The university will not retaliate against an employee for the filing of a grievance under this policy*; however, the filing of a grievance will not constrain the university from taking appropriate employment action.*

A probationary employee may not file a grievance under Category I unless: (a) the action involves allegations of a health or safety hazard; or (b) the action involves allegations of a violation of, or retaliation for the exercise of, constitutional rights. A probationary employee may not file a Category II grievance for a disciplinary action.

Category I Grievances

Each grievance must be submitted in writing using the *university* grievance form, which can be obtained from Human Resources. A written grievance must contain a clear and concise statement

of the grievance which refers to the applicable policy alleged to have been violated, the date the incident took place, the issue involved, and the specific relief sought by the grievant. The grievance should include any additional information to be considered in its support. Once a grievance has been submitted in writing, it may not be changed or amended after the expiration of the ten (10) day period set out in Step One of the grievance procedure. All matters pertaining to a grievance will be treated as part of the official personnel file of the grievant.

When a grievance involves an alleged violation of constitutional rights or retaliation for the exercise of constitutional rights, the burden of proof is upon the grievant to establish by a preponderance of the evidence that the decision or action placed in question by the grievance was a violation of grievant ~~'~~s constitutional rights or was intended as retaliation for the lawful exercise of constitutional rights by the grievant. Otherwise, the burden of proof is on the university to show good cause as to why the grieved action was taken.

The grievant may present his/her grievance individually, through legal counsel, or through a representative of an organization that does not claim the right to strike. Fees or charges (if any) to the grievant for such representation must be paid by the grievant since university monies are not authorized for such use. The director of human resources has the obligation to assist the grievant, upon request, by explaining this grievance procedure in detail.

~~Procedure for~~ Category I Grievance *Procedure~~s~~*

1. *Step One (First-Line Supervisor).* The grievant will use the grievance form to present the grievance in writing to the first-line supervisor within ten (10) working days from the date of the alleged action or condition giving rise to the grievance. A copy of the grievance will be sent to the director of human resources by the first-line supervisor. Within five (5) working days, the supervisor will inform the grievant of the decision in writing. A copy of the decision will be sent to the director of human resources.
~~2.~~ *Step Two (~~Department~~ Unit Head or Administrative Equivalent).* Grievances not satisfactorily resolved in Step One may be appealed by the employee in writing to the ~~employee's~~ *grievant's* ~~department chair~~*unit head* or administrative equivalent. The appeal must be made within five (5) working days following the date of the first-line supervisor's decision in Step One. Within five (5) working days, the ~~department~~ *unit* head *or administrative equivalent* will inform the grievant of the decision in writing. Copies of the decision will be sent to: (1) the first-line supervisor; and (2) the director of human resources.
2.
~~3.~~ *Step Three (Dean or Director).* Grievances not satisfactorily resolved in Step Two may be appealed in writing to the appropriate dean or director. The appeal must be made within five (5) working days following the date of the Step Two decision. Within five (5) working days, the dean or director will inform the grievant of the decision in writing. Copies of the decision will be sent to: (1) *the first-line supervisor; (2)* the ~~department~~

unit head~~chair~~ or administrative equivalent; and (~~2~~*3*) the director of human resources.~~.~~

3.

4. Step Four (Vice President or cabinet-level administrator). Grievances not satisfactorily resolved in Step Three may be appealed in writing to the appropriate vice president *or cabinet-level administrator* of the university. The appeal must be made within five (5) working days of the date ~~of~~ the Step Three decision *was rendered* by the dean or director. The vice president *or cabinet-level administrator, in ~~his or her~~their sole discretion, may personally* ~~will have the option to~~ ~~handle~~ *consider* the grievance or *elect to*~~to~~ appoint a ~~Grievance Review Board~~*delegate* to consider the grievance. When the subject of the grievance is the termination of the grievant, a hearing ~~must~~ *will* be held~~,~~ if requested by the grievant *in their appeal to the vice president or cabinet-level administrator*. ~~The vice president will either~~ *personally* ~~commence the review~~ *hearing* ~~or request the appointment of the Grievance Review Board~~*appoint a delegate who will commence the hearing* ~~within ten (10) working days following the date of the receipt of the appeal. If the vice president does not request a Grievance Review Board, A~~a written decision ~~will be given~~ *rendered* ~~to the grievant within fifteen (15) working days following the date of receipt of the appeal~~*the hearing. If no hearing is ~~required or a hearing has not been~~ requested by the grievant, a written decision by the vice president or ~~his or her~~their delegate will be rendered ~~to the~~* ~~If a Grievance Review Board is requested, a written decision by the vice president will be given to the grievant~~ within ten (10) working days following the receipt of the ~~Grievance Review Board's report and recommendations~~*appeal*. Copies of the decision will be sent to: (1) *the first-line supervisor; (2) the unit head or administrative equivalent; (3)* the dean or director; and (~~2~~*4*) the director of human resources. *The decision of the vice president or cabinet-level administrator, or ~~his or her~~their delegate, is final.*

~~*5. Step Five (President).* The president of the university is the final level of appeal. Grievances not satisfactorily resolved in Step Four may be appealed in writing to the president. The appeal must be made within five (5) working days following the date of the Step Four decision by the vice president *or cabinet-level administrator*. The president may *elect to* handle the*personally* review of the grievance or, if a Grievance Review Board was not requested at the Step Four level, the president will have the option to appoint a Grievance Review Board*in his or her sole discretion, may appoint a delegate to review the appeal*. Within a reasonable period of time not to exceed thirty *business* (30) days following the receipt of the appeal, or receipt of the Grievance Review Board's report and recommendations, whichever occurs last, the president, *or his or her delegate if applicable*, will inform the grievant of the decision in writing. Copies of the decision will be sent to: (1) the appropriate vice president *or cabinet-level administrator*; and (2) the director of human resources.~~

The time limits set forth in the ~~five steps of the grievance procedure~~*Grievance Category I*

Grievance Procedures must be observed by both the grievant and the appropriate supervisory and administrative personnel. *F*~~The f~~ailure of the ~~employee~~ *grievant to* ~~to process the grievance in a timely manner to the next level~~*abide by the given timelines* will constitute a withdrawal of the grievance. *F*~~The f~~ailure of supervisory or administrative personnel to timely respond to a grievance will constitute authorization for the ~~employee~~ *grievant* to process the grievance to the next step.

In administering these procedures, the director of human resources has the authority to designate at which step a grievance may begin or skip steps, dependent upon the ~~grievant's~~grievant's reporting line. For grievances against a vice president or cabinet-level administrator, the president or ~~his or her~~their designee will serve as the sole and final level of appeal.

Category I ~~Grievance Review Board~~

~~All ranks of university non-academic employees are eligible to serve on the Grievance Review Board. Human Resources will maintain a roster of non-academic employees serving on the grievance panel. The members of the grievance panel will be representative of the university work force, taking into consideration that the panel also be representative as to sex, race, and supervisory or non- supervisory status. The members will be selected from nominations submitted by other non-academic employees. The president will make final approval of the panel.~~
Hearing Procedures

Where a ~~hearing is afforded~~grievance concerns termination of the grievant and has been properly requested by the grievant in Step Four, the vice president or cabinet--level administrator will either personally commence the hearing or appoint a delegate who will commence the hearing within fifteen (15) working days following the date of the receipt of the appeal. T~~A Grievance Review Board, consisting of three (3) members, will be selected from the grievance panel of ten (10) employees previously approved by the president. The grievant will select one (1) name and the Step Three official will select one (1) name. The board will name its own chair from the remaining members of the panel. A representative of Human Resources and/or counsel from the Office of the General Counsel may be consulted in procedural matters and present at the hearing.~~

~~The Grievance Review Board will strive to hold the necessary hearing or hearings within ten (10) working days from the date Human Resources is notified in writing that a vice president or the president, as applicable, requests a hearing of the grievance, with the understanding that availability and other scheduling issues may require the hearing to occur at a later date. The president, vice president, Human Resources representative or the grievant will have the right to object to the person selected as chair of the Grievance Review Board based upon the grievance pending before the board or perceived unfair representation of a division of the university due to the nature of the grievance.~~

~~After the board is constituted and the hearing date is scheduled, the board will convene and hear~~

~~the grievance.~~ The hearing will be closed to the public *and may be conducted by video conference*. The grievant, *the* institutional representative, and *the* university*'s vice president or cabinet-level administrator/delegate* all have the right to be advised by legal counsel or a representative of an employee organization *that does not claim the right to strike. Any* ~~(which does not have the right to strike), however~~ such legal counsel or representative *is permitted to provide support, guidance, or advice to their client, but may not directly* ~~*operate in an advisory role only and does not have the right to strike or actively participate in*~~ will not be allowed to conduct or participate in the hearing.

At least five (5) business days prior to the scheduled hearing, the grievant and institutional representative will submit a list of its witnesses (including a short description of the testimony each witness is expected to provide) and *a copy* ~~four copies~~ of its *documentary* evidence to the director of human resources ~~or their representative~~. The director of human resources ~~or their representative~~ will provide the list of witnesses and a copy of the *documentary* evidence to ~~each side and the members of the board~~*all parties*. Formal rules of evidence do not apply to the hearing, and the ~~boar~~*vice president or cabinet-level administrator/delegate* ~~d~~ may exclude evidence ~~*he or she*~~*they* ~~it~~ deems ~~s~~ irrelevant or superfluous. *Each party is responsible for securing the attendance of their own witnesses at the hearing.*

~~A court reporter or a~~*At a minimum, the hearing will be audio recorded* ~~t least two (2) audio recording devices will be furnished by the university to record the hearing~~. *A* ~~A~~The party requesting a typed transcript of the proceedings will be responsible for ~~payment of *such*~~*all associated costs* ~~same~~. The hearing will consist of opening statements by the grievant and the institutional representative, testimony by witnesses called by the ~~institution and the~~ grievant *and the institution*, ~~, with both parties having the right to~~ cross examin*atione* ~~*of*~~ witnesses, and *presentation of* any relevant exhibits. ~~which either party seeks to present to the board. At least five (5) business days prior to the scheduled hearing, the grievant and institutional representative will submit a list of its witnesses (including a short description of the testimony each witness is expected to provide) and four copies of its evidence to the director of human resources or their representative. The director of human resources or their representative will provide the list of witnesses and a copy of the evidence to each side and the members of the board. Formal rules of evidence do not apply to the hearing, and the board may exclude evidence it deems irrelevant or superfluous.~~

At the conclusion of the testimony, both parties will be permitted to make a closing ~~argument~~*statement*. *T* ~~T~~Following the hearing, ~~t~~he ~~Grievance Review Board~~*vice president or cabinet-level administrator/delegate will then close the hearing* ~~will retire to deliberate~~ and~~,~~ ~~as soon as possible, will submit~~ *issue* a written ~~report of its findings~~*decision to the grievant within ten (10) working days. Copies of the decision will be sent to: (1) the first-line supervisor; (2) the unit head or administrative equivalent; (3) the dean or director; and (4) the director of human resources. The decision of the vice president or cabinet-level administrator, or* ~~*his or her*~~*their delegate, is final.* ~~and recommendations to the vice president or president, as applicable, who will make a decision on the grievance.~~

Category II Grievances

Category II grievances are matters of employee-management disagreement other than those specifically defined as Category I grievances. Category II grievances are not authorized to be processed through the formal Category I grievance procedure. ~~Category II grievances include, but are not limited to, employee dissatisfaction relative to wages, hours, and working conditions as well as work related actions such as performance evaluations, oral or written reprimands, administration of the merit pay program, or job assignments or interpretations of the official personnel or administrative policies of the university as applied to the grievant.~~

~~Procedure for~~ Category II Grievances *Procedures*

1. *Step One.* A Category II grievance may be informally presented to the first-line supervisor for discussion and consideration.
2. *Step Two.* If a Category II grievance is not satisfactorily resolved by the first-line supervisor, the employee should present the complaint in writing using the grievance form to the appropriate ~~department~~ *unit* head or director for final consideration and action. If the grievance is against the ~~department~~ *unit* head or director, it will be presented to the appropriate dean or supervisor of the *unit head or* director for final consideration. The written grievance and the written response of the ~~department~~ *unit* head or director will be treated as part of the official personnel file of the employee. Copies of the written grievance and written response will be sent to: (1) the first- line supervisor; and (2) the director of human resources.

Cross Reference: U.S. Const. amend. V; U.S. Const. amend. XIV; Tex. Const. art I, § XIX

Responsible for Implementation: President

Contact for Revision: Human Resources

Forms: Formal Grievance Forms are 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: Intellectual Property

Policy Number: 9.4

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

Date of last revision, if applicable: 7/26/2022

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Policy details the university's rules regarding ownership and use of intellectual property developed by university employees and students.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for <u>each</u> substantive revision: No substantive change.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Steve Westbrook, Interim President
Damon Derrick, General Counsel

Intellectual Property

Original Implementation: April 9, 1988
Last Revision: July ~~23~~*26,* 202~~219~~

Stephen F. Austin State University encourages participation by faculty, staff and students in scholarly research and creative activities that support and enhance teaching in its classrooms and laboratories. While research conducted at Stephen F. Austin State University is aimed at discovery and dissemination of knowledge, rather than profit from commercial application, the Board of Regents recognizes that questions regarding intellectual property rights may arise from such activities. The Board of Regents seeks through adoption of this policy to balance the interests of the public, the university and the inventor, author, or creator in intellectual property arising from research and creative activities conducted by employees of the university. The board further seeks to ensure that inventions, discoveries and creative works are used and controlled in an efficient and prudent manner which will result in maximum benefit to the public, the university and the inventor, author, or creator.

Applicability

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

Copyright

1. **Definitions**

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

to produce a “work made for hire” is made in advance between the university and faculty member, or as otherwise provided by university policy.

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

2. **Ownership**

a. General
In keeping with academic tradition, the university does not claim ownership of copyrightable intellectual property created by faculty during the normal course of their employment unless otherwise agreed in writing. Such property includes but is not limited to: course content, syllabi, course materials, course computer enhancements, authored/created textbooks, books, articles, software, multimedia courseware, data sets in any format and similar works, the intended purpose of which is to disseminate the results of academic research or scholarly study created on the faculty’s own initiative. Further, the university claims no ownership of faculty authored/created popular nonfiction, novels, poems, musical compositions, software or other works of artistic imagination which do not result from projects commissioned or assigned by the university. Unless evidence of excessive use or abuse of university funds or facilities exists, the university will convey, upon request and to the extent consistent with its legal obligations, the copyright in such works to the individual faculty creator(s) or author(s). Faculty members will make such decisions and take such steps to protect works they own, with their discretion. The university reserves the right to use for instructional and research purposes, without obligation to make payment therefore, any works created by

employees or students during their periods of employment or attendance and revisions or derivations of such works.

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

c. Use of University Resources
   i. Copyright in all material (including software) that is developed with the significant use of funds, space, hardware, or facilities administered by the university, including but not limited to classroom and laboratory facilities, but without any obligation to others in connection with such support, resides in the university. The university recognizes and affirms the traditional academic freedom of its faculty to publish freely without restriction. In keeping with this philosophy, the university will not construe the provision of office, computer or library facilities as constituting significant use of university resources, except for those situations where funds were paid specifically to support the development of such. Faculty development leaves, faculty development grants, mini-grants and research course reductions will not be construed as a significant use of university resources unless otherwise agreed to by the university and faculty member.
   ii. Copyright in works resulting from projects that are performed in whole or in part by any person with grants from funds administered by the university shall be determined in accordance with the terms of the support agreement, federal law, or, in the absence of such terms, shall be negotiated by the parties involved. The university will determine whether to register and enforce the copyright on works it owns.

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

e. Grandfather Clause for Ownership of Fully Online Courses

Agreements executed under the Intellectual Property Rights for Distance Education policy (deleted July 26, 2016) still apply.

3. **Revenue Sharing**

   a. Works Not Owned by Stephen F. Austin State University
   If the university does not claim ownership of an intellectual property, authors and creators of intellectual works not owned by the university may copyright the related work, publish it, register the copyright and receive any revenues which may result therefrom.

   b. Works in Which Stephen F. Austin State University Has a Property Interest (Generally, Commissioned Works or Works Prepared in the Course and Scope of Employment)
      i. Royalty income received by the university through the sale, licensing, leasing or use of copyrightable material in which the university has a property interest will normally be shared with the author. Authorship for this purpose shall be determined by the president or his designee. Compensation and division of royalties, if any, will be negotiated by written agreement prior to commencement of work on the project or as soon thereafter as practical.
      ii. In the event that an author contributes a personal work to the university, a written agreement accepting such contribution shall be executed. The terms of the agreement shall include a statement governing the division of royalties between the university and the author.
      iii. In cases of extramural funding, the terms of the funding agreement shall govern the division of any royalties that may result from commercialization of materials resulting therefrom. In the event that the funding agreement vests royalty rights in the university, and does not provide any royalty share for the author, the terms of Copyright, Section 3.b.(i) shall apply. No such royalty payment to the author, however, may violate the terms of the funding agreement.

4. **Use of University or Agency Sponsored Materials**
   a. Prior to the use of a work in which the university has an interest, the author will consult with the university through appropriate administrators, or provide a reasonable opportunity for such consultation, with respect to its use.
   b. When unresolved questions on use occur, they shall be referred to the president or his designee for resolution.

5. **Revision of Materials**
   Materials owned by the university under the terms of this policy shall not be altered or revised without providing the author a reasonable opportunity to assume the responsibility for the revision. If the author declines the opportunity to revise such material, the assignment of responsibility for the revision will be made by the president or his designee in consultation

with the appropriate department or office. This does not apply to the substantial redevelopment of fully developed approved online courses.

6. **Withdrawal of Materials**
   a. Materials owned by the university under the terms of this policy shall be withdrawn from use when the university, in consultation with the author, deems such use to be obsolete or inappropriate. No withdrawal or other discontinuance that would violate the terms of any licensing or other agreement relating to the materials shall take place.
   b. The university may release to the author(s) the right to any work copyrighted in the name of the university.

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

8. **Notice of Copyright**
   Although the law does not require copyright notice for legal protection, the university encourages that such notice be applied to all works.

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

   © 20__, Stephen F. Austin State University. All rights reserved.

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

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

Patents

1. **Obligations**
   a. Employees and others who are subject to this policy by virtue of their employment or use of university services or facilities shall disclose to the president or his designee (dean with

copy to the general counsel) any invention or discovery (including those made under cooperative arrangements); provide complete information thereon; and cooperate with the university in protecting potential patent and know-how rights in accordance with Administration of Intellectual Property below.

b. When an invention arises from a project specially commissioned by the university, created in the course of employment, or with use of university facilities or funds beyond the provision of office or library facilities, the inventor hereby assigns all rights, title and interest in and to any such invention to the university or its designee and shall assist the university or its designee in securing patent protection on the invention. The inventor shall, upon request, execute an invention agreement prior to commencement of the project, or as soon thereafter as practical.

c. All parties privy to inventions, know-how, trade secrets, or other discoveries which may be patentable shall maintain such information in strict confidence, so as to protect the intellectual property (subject to internal disclosure as outlined above). Researchers, consultants, and other individuals hired on projects which may involve the development of patentable property shall execute a non-disclosure agreement. Notwithstanding this provision, all employees shall be subject to non-disclosure and confidentiality obligations on patentable or other trade secret information as a term and condition of employment.

2. **Sponsored Research**

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

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

3. **Royalties**

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

      i. Fifty percent (50%) to the inventor(s);

      ii. Fifty percent (50%) to the university.

   b. Special facts concerning an invention may warrant a different distribution of royalties. Agreements with respect to royalties shall be in writing and signed by the president or his

designee. Any agreement which grants the inventor more than fifty percent (50%) of the net royalties shall require approval of the Board of Regents.

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

4. **Use of Inventions and Discoveries**
   a. Prior to the use of an invention or discovery in which the university has an interest, the employee responsible for the invention or discovery will consult with the university through appropriate administrators, or provide a reasonable opportunity for such consultation, with respect to its use. The university reserves the right to use for instructional and research purposes, without obligation to make payment therefore, any inventions or discoveries made by employees during their periods of employment and revisions or derivations of such inventions or discoveries.
   b. When unresolved questions on use occur, they shall be referred to the president or his designee for resolution.

Trademarks, Service Marks and Trade Names

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

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

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

4. No licenses shall be granted to commercial entities for use of trademarks or service marks in connection with inherently dangerous products, products of obscene or disparaging characteristics, health related products, and any other uses which in the opinion of the president or his designee would degrade the reputation or goodwill of the university.

5. Trademark licensing inquiries should be directed to the director of athletics for processing in accordance with the university's licensing program. If the licensing inquiry does not fall within the traditional licensing program, the request should be forwarded to the general counsel.

Trade Secrets

Trade secrets may be comprised, generally, of any formula, pattern, or device, or of information which gives one an opportunity to obtain an advantage over competitors who do not know or use it

in commercial applications. Trade secrets in which Stephen F. Austin State University maintains an interest shall be protected in accordance with the terms of sponsored research agreements or, if none exist, by any lawful means available to the university as determined by the president or his designee.

Disclosure of Intellectual Property

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

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

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

Equity Ownership and Management Participation

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

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

3. In accordance with Section 51.912 of the Texas Education Code, the names of all business entities that have an agreement with the university relating to the research, development,

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

Disposition of Income

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

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

License Agreements

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

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

Administration of Intellectual Property

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

2. In determining the university's ownership interest in any intellectual property and measures necessary for appropriate protection or exploitation of such interests, the president or his

designee may utilize assistance from designated university committees, the general counsel, Texas attorney general, an appropriate private law firm or attorney, or corporations established for the purpose of managing intellectual property.

3. The responsibility for commercial marketing and licensure of intellectual property, and for maintenance of appropriate fiscal records, is assigned to the president or his designee.

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

Cross Reference: Tex. Educ. Code § 51.912; United States Code, Titles 17, 35

Responsible for Implementation: President

Contact for Revision: 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: Interlibrary Loan Services

Policy Number: 4.11.1

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: Provost and Executive Vice President for Academic Affairs

Purpose of Policy (what does it do): If materials are not available at the SFASU library, faculty, staff and students have the capabilities to borrow items within the Interlibary Loan Services (ILL).

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Policy to be moved to the Steen Library Procedures Manual.

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

Interlibrary Loan Services

Original Implementation: March, 1985
Last Revision: April 30, 2019

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

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

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

Requests should be submitted to the ILL department through the library's website.

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

The library reserves the right to refuse any ILL request if fulfillment of the request would violate copyright law. Steen Library abides by the National ILL Code, which regulates the exchange of material between libraries in the U.S., and maintains such records of ILL transactions as required by the university's records retention schedule.

Cross Reference: U.S. Copyright Law (Title 17, U.S. Code, Section 108); National Interlibrary Loan Code

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

Contact for Revision: Library Director

Forms: http://2912.account.worldcat.org/profile/

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Library Borrowing

Policy Number: 4.11.2

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: Provost and Executive Vice President for Academic Affairs

Purpose of Policy (what does it do): Guidance on who can borrow materials from the SFASU library.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for <u>each</u> substantive revision: Policy to be moved to the Steen Library Procedures Manual.

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

~~Library Borrowing~~

~~**Original Implementation:** February 11, 1981~~
~~**Last Revision:** April 30, 2019~~

~~Persons who hold Stephen F. Austin State University identification cards or Judy B. McDonald Public Library cards are eligible to borrow materials from the Ralph W. Steen Library. Individuals who do not hold either card may use an official picture identification, e.g., driver's license, to borrow materials. A university library card may be issued upon request. Loan periods vary by borrower category and type of material borrowed. Library users are responsible for all materials borrowed from either library, including the payment of overdue fines, and replacement and/or repair costs for lost or damaged materials. Borrowing privileges are suspended at both libraries for overdue materials or unpaid charges at either library. Individuals are limited to ninety-nine items on their borrowing record at any one time.~~

~~Ralph W. Steen Library recognizes and accepts TexShare reciprocal borrowing cards from participating institutions. TexShare library card holders from participating institutions must present an official picture identification when borrowing materials from Ralph W. Steen Library. TexShare cards issued to SFA students are valid for one semester, expiring on the first day of the following semester, whereas, faculty and staff TexShare cards expire at the end of August.~~

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

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

~~**Contact For Revision:** Library Director~~

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

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

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Library Gifts

Policy Number: 4.11.3

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

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

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

Purpose of Policy (what does it do): Guidelines for gifts to Steen Library.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Policy to be combined with policy 3.17 and be moved to the Steen Library Procedures Manual.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Library Non-Monetary Gifts

Original Implementation: March, 1982
Last Revision: October 28, 2019

The purpose of the Ralph W. Steen Library's gift program is to support the academic mission of the university by accepting materials.

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

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

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

Cross Reference: Gift Reporting (3.16)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Library Director

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Military Service Activation

Policy Number: 6.14

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 Vice President for Academic Affairs for University Affairs

Purpose of Policy (what does it do): Provide course absence and withdrawal guidance for students that may be called to active military service.

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: 1. Provide process for students that miss more than 25% of total number of class meetings. 2. Clarify process for student withdrawal from the university due to military service activation. 3. Minor edits.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Military Service Activation

Original Implementation: April 20, 2010
Last Revision: July ~~23, 2019~~*26, 2022*

Through the course of an academic term, a student may be called to active military service. In the event of activation or mobilization, students are required to present a copy of their official orders *to the Registrar's Office* to facilitate verification of inclusive dates. Students called to active military service have several options available to them for the treatment of their academic coursework and financial obligations.

Excused Absence for Military Service Activation

Should a student called to active military service choose not to withdraw, the university will excuse the student from attending classes or engaging in other required activities upon receipt of a copy of the military orders. Excluding the final examination period, the maximum amount of time a student may be excused will be no more than twenty-five percent (25%) of the total number of class meetings, or the contact hour equivalent. The university will not penalize the student for that absence (including any travel associated with the service) and the student will be allowed to complete any assignment or take any examination within one year after the completion of active service.

The university may provide as an accommodation, if reasonable and appropriate under the individual circumstances, extended time for course completion and additional services for those returning from active military service with documented duty-related disabilities. See Academic Accommodation~~s~~ for Students with Disabilities (6.1). During this time, the syllabus and a record of the coursework completed prior to activation will be retained by the instructor or academic unit. The student will be able to complete the course without penalty and under the same requirements as when the student initially enrolled in the course.

Upon returning from active military service, the student will provide to the registrar a written request to complete the course. Upon receipt, the registrar will contact the *Dean of the student's major* ~~academic unit head~~ who will coordinate the completion of the course*(s) with the appropriate academic department(s)*. If the student fails to complete any coursework or examinations, the student will receive the grade earned up to that point. Any dispute under this policy will be handled under normal academic procedures. See Final Course Grade Appeals by Students (6.3).

Withdrawal from University for Active Military Service

~~Any withdrawal from a course due to active military service will be treated as if the student had not enrolled in that course.~~ If a student elects to withdraw from the university due to military service activation, the university, at the student's written request and upon receipt of a copy of

the military orders, will*:*

~~1. refund the tuition and fees paid by the student for the semester in which the student withdraws;~~

~~2. petition the instructor to assign an appropriate final grade or credit to a student who has satisfactorily completed a substantial amount of coursework and who has demonstrated sufficient mastery of the course material. The decision will be at the instructor's discretion; or,~~

~~3. grant the student, who is eligible under the institution's guidelines, an incomplete grade in all courses by designating "withdrawn-military" on the student's transcript.~~

1. Refund the tuition and fees paid by the student for the semester in which the student withdraws. Any withdrawal from a course due to active military service will be treated as if the student had not enrolled in that course; or

Grant a student, who is eligible under the institution's guidelines, an incomplete grade in all courses by designating "withdrawn-military" on the student's transcript,~~;~~ or

~~1.~~2.~~A~~as determined by the instructor, assign an appropriate final grade or credit to a student who has satisfactorily completed a substantial amount of coursework and who has demonstrated sufficient mastery of the course material.

Cross Reference: Tex. Educ. Code §§ 51.9111, 54.006(f); 19 Tex. Admin. Code § 4.8; Course Grades (5.5); Course Add/Drop (6.10); Student Fiscal Appeals (6.19); Satisfactory Academic Progress for Financial Aid Recipients (6.16); Academic Accommodations for Students with Disabilities (6.1); Final Course Grade Appeals by Students (6.3).

Responsible for Implementation: ~~Provost and Vice President for Academic Affairs~~ *Executive Director of Enrollment Management* ~~and Vice President for University Affairs~~*~~Chief Diversity Officer~~*

Contact for Revision: Registrar

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Missing Student Notification

Policy Number: 13.13

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

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

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

Purpose of Policy (what does it do): This policy, along with its accompanying procedures, establishes a framework for cooperation among members of the Stephen F. Austin State University community, in accordance with the Higher Education Opportunity Act (HEOA) of 2008, aimed at locating and assisting currently enrolled students who reside on and off campus and have been reported missing.

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:

John Fields, Chief of Police
Andrew Dies, Assistant Vice President of Student Affairs/Dean of Students
Brandon Frye, Vice President of Student Affairs
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Missing Student Notification

Original Implementation: July 20, 2010
Last Revision: July *26~~23~~*, 202*2~~19~~*

Purpose~~:~~

This policy, along with its accompanying procedures, establishes a framework for ~~—~~cooperation among members of the Stephen F. Austin State University community, in accordance with the Higher Education Opportunity Act (HEOA) of 2008, aimed at locating and assisting currently enrolled students who reside ~~on and off~~*in on-*~~-~~campus *housing* and have been reported missing.

General

Any person having reason to believe that a student may be missing should immediately contact the Stephen F. Austin State University Police Department (UPD). The *U~~u~~niversity P~~p~~olice Department* shall investigate each report and immediately notify the appropriate university administration *if there is evidence that the person could be missing*.

A student is presumed to be missing when his or her absence is inconsistent with his or her established patterns of behavior, and the deviation cannot be readily explained. Before presuming that a person is missing, reasonable measures should be taken to determine whether or not the student is at another place of residence and whether or not anyone familiar with the person has seen or heard from the person recently or is aware of where he or she may be.

Contact Information~~:~~

~~All s~~Students shall have an opportunity to designate a contact person who will be notified in the event the student *residing in on-campus housing* is determined to be missing. This contact information is separate from the emergency contact information a student may have provided as part of the registration process and will not be disclosed outside of a missing person investigation.

If a student fails to provide a separate contact person to be notified in a missing person investigation, the university may contact any person listed as an emergency contact for ~~—~~the student.

If the student deemed missing is younger than 18 years of age and is not emancipated, the University Police Department is required to notify the parent or guardian of the missing student within 24 hours after that determination is made.

Procedure~~:~~

- Anyone who suspects a student may be missing should notify the University Police Department immediately at 936-468-2608 *or 911*.
- Any report of a missing student made to a university office or employee, should be directed immediately to the University Police Department at 936-468-2608.
- When a student is reported missing, the University Police Department shall;
  - Initiate an investigation to determine the validity of the missing person report;
  - Notify the assistant vice president *of student affairs/ ~~and~~* ~~and~~ dean of students;
  - Make a determination as to the status of the missing student *based upon the investigation*;
  - ~~•~~ If the student is determined to be missing ~~:~~
  - notify the confidential contact person identified by the missing student as the emergency contact within 24 hours;
  - If the student has failed to provide a confidential contact person, notification may be made to any person listed as an emergency contact for the student;
  - Notify the student's custodial parent or guardian as contained in the records of the university within 24 hours of the determination that the student is missing if the student is younger than 18 years of age and is not emancipated.
- The *assistant* vice president *of* ~~for university affairs~~*student affairs/dean of students* shall initiate any action he/~~ or~~ she deems appropriate under the circumstances to be in the best interest of the missing student.
- The University Police Department may request the assistance of other law ~~–~~enforcement agencies as deemed necessary in the investigation.

Awareness~~:~~

A statement of this policy and the missing student notification procedures shall be provided in the university's annual security report in accordance with federal law and regulations.

The assistant vice president *of student affairs/* ~~and~~ dean of student*s and the University Police Department*~~t affairs~~ shall have the responsibility to inform students of the provisions of this policy, and the procedures set forth above.

Cross Reference: 20 U.S.C. § 1092(j); 34 C.F.R. § 668.46

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

~~Affairs~~ *and Vice President- of~~of~~ Student Affairs*

Contact for Revision: ~~Executive Director of Public Safety *and Parking Services/*~~Chief of Police~~;~~*and Assistant Vice President of Student Affairs/Dean of Students*

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Outside Employment

Policy Number: 11.19

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 outlines the requirements of Stephen F. Austin State University (SFA) employees in reporting outside employment that is in addition to their employment at SFA. This policy applies to all employees of SFA except positions that require enrollment as a student.

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, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Outside Employment

Original Implementation: April 21, 1981
Last Revision: *July*~~April~~ *26~~1220~~*, 202*2*~~1~~

Purpose

This policy outlines the requirements of Stephen F. Austin State University (SFA) employees in reporting outside employment that is in addition to their employment at SFA. This policy applies to all employees of SFA except positions that require enrollment as a student.

Definitions

Outside employment - ~~is~~ engagement in any activity for a fee, salary, wages, or other financial arrangement other than for SFA. Examples include dual employment with another entity in Texas government, establishing or joining a firm, private business, or engaging in the private practice of some professional skill, or working at another job.

Dual employment - ~~is~~ engagement in any activity for a fee, salary or wage at another state agency or institution of higher education other than SFA**.**

Annual Conflict of Interest Disclosures – required annual disclosures by certain university employees using the university's online process.

General

University employees who propose to engage in outside employment activities must adhere to the following guidelines and any applicable laws:

1. An individual desiring permission to engage in outside employment must complete the Request for Approval of Outside Employment form and route it through administrative channels to the appropriate division head (or president if no division head oversees the office) for approval, prior to beginning outside employment. After initial approval of the outside employment, the employee will annually disclose or update such outside employment in the Employee Annual Conflict of Interest Disclosures.
2. Proper performance of the employee's university assignment is paramount and outside work will assume a position secondary to university duties.
3. The employee may not use any materials or facilities of SFA in the course of outside employment.
4. The employee will make a reasonable effort to assure that his/her outside employment is not identified with SFA.
5. The employee cannot perform any outside employment within the hours in which they are also

being compensated for employment with SFA.

In addition, the following guidelines and constraints are applied for dual employment:

1. ~~1. Separate leave records will be maintained for each employment~~*An employee seeking dual employment must notify and receive approval from both the current and potential additional state employer prior to accepting multiple state employments*.

~~1.~~*2.Separate leave records will be maintained for each employment.*

3~~2~~. Time worked in one position may not be used as additional tenure credit for purposes of longevity or annual leave accrual for the other position.

4~~3~~. Upon termination of one employment, the leave balances accrued under that employment may not be transferred to the remaining employment.

5~~4~~. The state's contribution towards the taxes imposed on the employee by the Federal Insurance Contributions Act may not exceed the overall limit specified in the General Appropriations Act. The *state* comptroller shall prescribe such uniform accounting and reporting procedures as necessary to ensure that expenditures for this purpose do not exceed this limit.

6~~5~~. The total state contribution toward the employee's group insurance will be limited to no more than the amount specified in the General Appropriations Act for one full time active employee.

7~~6~~. The employee will be entitled to receive longevity payment for no more than one employment.

8~~7~~. Overtime compensation will accrue for each employment totally independent of the other, except that when an employee works in a dual employment capacity where the employee is subject to the overtime provisions of the Fair Labor Standards Act (FLSA) of 1938, 29 U.S.C., sec. 201 et seq., in either employment, the employing agency or agencies must consider all combined time worked in excess of 40 hours per week as overtime and compensate the employee in accordance with the FLSA provisions applicable to joint employment relationships. In cases where the dual employment is with two separate agencies, the two agencies shall coordinate in order to determine which agency shall have the responsibility to assure that the employee is properly compensated in accordance with such provisions.

~~Each division head will provide a summary report to the president of individuals in their division approved for outside employment by October 31 of each year.~~

Cross Reference: Faculty Handbook, Tex. Const. art. XVI, §§ 33, 40; Tex. Gov't Code §§ 667.001-007; General Appropriations Act; Fair Labor Standards Act, 29 U.S.C. §§ 201-219

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Request for Approval of Outside Employment form is available on the human resources website; Employee Annual Conflict of Interest Disclosures.

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Parking Services

Policy Number: 13.14

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

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

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

Purpose of Policy (what does it do): SFASU parking regulations are intended to regulate and control parking and the use of parking facilities, to provide for the issuance of parking permits, and to provide for jurisdiction over offenses. These rules and regulations are supplementary to applicable ordinances of the city of Nacogdoches and the statutes of the state of Texas that govern pedestrians and the use of motor vehicles and bicycles.

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: Name change and minor changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

John Fields, Chief of Police
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Parking ~~and Traffic~~*Services*~~Services~~

Original Implementation: September 1, 1961
Last Revision: July *26*~~27~~, 202*2*~~1~~

Purpose~~:~~

The Texas Education Code provides that the governing board of each state institution of higher education may promulgate rules and regulations for the safety and welfare of students, employees, and property, and other rules and regulations it may deem necessary to carry out the provisions of the Texas Education Code and the governance of the institution, provide for the operation and parking of vehicles on the grounds, streets, drives, alleys, and any other institutional property under its control.

General

The Board of Regents will approve the establishment of parking fees and any changes thereto. However, the board hereby delegates to the chief of police the authority to adopt rules and regulations that govern the operation and parking of vehicles on property owned or under the control of the university, including but not limited to limiting the rate of speed, assigning parking spaces and designating parking areas and their use, prohibiting parking as it deems necessary, removing vehicles parked in violation of university policy and procedure or law at the expense of the violator, and instituting a system of registration for vehicle identification.

The rules and regulations are supplementary to applicable ordinances of the city of Nacogdoches and the statutes of the state of Texas that govern pedestrians and the use of motor vehicles and bicycles.

The rules and regulations will be reviewed on at least an annual basis, and include review by the office of the general counsel.

~~General:~~

A. The operation of a motor vehicle or bicycle on university property is a privilege granted by the university and is not an inherent right of any faculty/staff member, student or visitor. All faculty, staff, students and visitors who park on university property must have and display a university parking permit or park in a short-term paid parking space. A parking permit signifies that an individual has been granted the privilege of parking a vehicle on university property and does not guarantee a parking place on campus.

B. The university assumes no liability or responsibility for damage to or theft of any vehicle parked or driven on campus. The university assumes no responsibility or any duty to protect

any vehicle or its contents at any time the vehicle is operated or parked on the campus. No bailment is created by granting any parking or operating privileges regarding a vehicle on any property owned, leased or otherwise controlled by the university.

C. Each person operating a motor vehicle on university property is responsible for obeying all university parking services regulations as well as all city and state parking regulations. The regulations are in effect at all times on university property including semester breaks, holidays, weekends, and intersessions.

Administration and Enforcement of the Regulations~~:~~

A. **~~Parking Services:~~** The *p~~P~~*arking *s~~S~~*ervices division of the SFA University Police Department (UPD) is authorized to enforce the regulations and is responsible for the administrative functions relating to parking permits; establishing procedures and requirements for the issuance of parking permits; the collection of enforcement fees for parking services violations; establishing requirements for the submission of appeals; the processing of appeals from parking services citations; and for management of parking lots and garages. ~~University~~ *P~~P~~*arking *s~~S~~*ervices enforcement officers are authorized to write university parking citations.

B. **~~The Stephen F. Austin State University Police Department (UPD):~~** The *u~~U~~*niversity *p~~P~~*olice division of UPD is also authorized to enforce the regulations at any time or under any circumstances deemed necessary. UPD officers may issue university citations or court appearance citations enforceable in justice of the peace or municipal court.

Additionally, the university police shall be vested with the authority to refuse to allow persons having no legitimate business to enter upon any property under the control and jurisdiction of Stephen F. Austin State University and to eject any unauthorized persons from said property upon their refusal to leave peaceably upon request.

The university police are authorized to enforce the Texas Motor Vehicle Code, the Texas Penal Code, and applicable ordinances of the city of Nacogdoches, the parking services regulations of the university, and all other laws.

Authority~~:~~

Parking *s~~S~~*ervices and UPD are authorized to enforce the regulations:

A. Through the issuance of university citations and collection of enforcement fees, including the periodic billing of unpaid citations and the referral of individual cases pertaining to unpaid campus citations to a collection agency;

B. Through the impoundment of vehicles interfering with the movement of vehicular, bicycle, or

pedestrian traffic, blocking a sidewalk or space for those with disabilities, loading dock, ramp, cross-walk, entrance, exit, fire lane, or aisle;

C. Through the impoundment or immobilization of vehicles for unpaid enforcement fees or display of a lost, altered, stolen or unauthorized parking permit;

D. By the suspension, revocation or denial of campus parking and driving privileges, parking permit and garage access privileges to those who have flagrantly violated these regulations;

E. By requiring either the vehicle owner or operator or the person who purchased the permit to appear in court for certain moving violations or at a university hearing for non-payment of outstanding charges or other violations of these regulations;

F. By barring re-admission and by withholding grades, degree, refunds and official transcript of any student for non-payment of outstanding charges in accordance with university ~~standards~~ *policy*;

G. By disciplinary action against employees or students who fail to abide by these regulations;

H. By such other methods as are commonly employed by city governments or state agencies in control of traffic regulation enforcement.

I. Violation of the university parking services regulation is a misdemeanor punishable by a fine of up to $200.

J. With approval of the vice president for finance and administration, UPD and *p*~~P~~arking *s*~~S~~ervices may authorize an alternative method for the payment of fines that is consistent with the university's mission such as community service hours or the collection of food for area foodbanks.

Collection Methods~~:~~

The university may arrange for collection of debts due to the university pursuant to the regulations in the following manner and as specified elsewhere in the regulations:

A. Permit payments may be deducted from employee payroll checks with the employee's permission. Deductions for all permit purchases will continue until the full price of the permit is paid or until the permit is returned. Employees are responsible for monitoring their paychecks to ensure that proper deductions are being made for their SFA parking permit.

B. A financial hold may be placed against *anyone*~~students~~ for past due debts.

~~C.~~ Any charge not paid when due *is considered an accounts receivable subject to collection*

following policy 3.28, Student and Non-Student Accounts Receivable. ~~may be forwarded to a collection agency or an attorney for collection. The offender will be responsible for paying all costs of collection, including any agency fees and/or reasonable attorney's fees, which will be added to the total amount due.~~

Appeals

~~:~~ The rules and regulations established by Parking Services will provide a procedure for appeal of a citation.

Cross Reference: Parking Services Regulations; Tex. Educ. Code §§ 51.201-.211, 54.505; Tex. Transp. Code § 681.008, Ch. 683*; Student and Non-Student Accounts Receivable (3.28)*

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: *Executive Director and /*Chief of Police

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Policy Development and Format

Policy Number: 1.6

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: President

Purpose of Policy (what does it do): Policy describes the policy review and formation process and contains the format each policy must follow

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: Policy 13.14 removed from mandatory annual review due to the removal of parking and traffic charges and fees from the policy. Revision history added to each policy.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Damon Derrick, General Counsel

Policy Development and Format

Original Implementation: July 16, 2013
Last Revision: July ~~23~~*26, ~~2019~~2022*

A. POLICY FORMAT

Each policy will have a title that is concise but descriptive.

Each policy is indexed with a numeric indicator which indicates the position of the entry within the policy manual. Each policy contains two sets of numbers separated by a period. The number preceding the period refers to the subject area and the number following the period identifies the sequentially numbered policy within that subject area. The index number will be noted in the footer.

Each policy will have the following captions, defined as follows:

- Original Implementation: All new policies must be approved by the board of regents. The caption specifies the date of original approval of the policy by the board of regents. If the date of original implementation could not be determined accurately, Unpublished is substituted.
- Last Revision: All revisions to policies must be approved by the board of regents. This caption indicates the latest date that the policy was approved by the board of regents; the text of the policy is the latest revision, as of this date.
- Cross Reference: These consist of other policies or statutory references that may have a direct impact upon the policy.
- Responsible for Implementation: This caption indicates the position title of the senior university administrator who has been delegated by the board of regents and/or the president with the responsibility of administering this policy. This caption should state either the president, *vice president,* or ~~the vice president(s)~~*other division head* to whom the president has delegated this responsibility. If the policy is a university-wide policy, the responsible office listed is president; if the policy affects or is administered by a division of the university, the vice president *or other division head*~~of the division~~ is listed.
- Contact for Revision: This caption lists the position title of the university employee who directly administers the policy on a day-to-day basis and/or has been assigned the responsibility for revision of the policy. In some cases, there are multiple employees listed as responsible for revision and each must collaborate in the revision to coordinate changes that will impact more than one university division.
- Forms: Forms necessary to implement the policy are listed by title, followed by a parenthetical reference which indicates where the form may be obtained.

- Board Committee Assignment: This caption indicates which committee of the Board of Regents is responsible for initial review and recommendation for approval by the board.

- *Policy Revision History: This caption provides the revision dates of the policy for the previous ten years.*

Each policy will have a footer containing the page number, title and index number of the policy.

Policies will be styled consistent with the most recent version of the *Associated Press Stylebook.*

The general counsel may modify policies to revise contact information*, position title changes,* or as necessary to ensure compliance with this section. Additionally, the general counsel may modify the structure and format of the policy manual as needed to increase its usability and effectiveness.

B. PROCESS FOR PROPOSAL OR REVISION OF POLICIES

Policies may be revised by the Board of Regents at any time it becomes necessary or advisable. At a minimum, policies are to be reviewed every three years, with the exception of the following policies which require annual review:

- 2.13 ~~Sexual Misconduct~~*Title IX*
- 3.20 Investments – Endowment Funds
- 3.21 Investments
- 10.4 Student Code of Conduct
- ~~13.14 Parking and Traffic Regulations~~

The employee listed as contact for revision in each policy is responsible for initiating the review process and submitting the suggested policy changes through administrative channels to the president or to the vice president of the appropriate university division. In the academic affairs division, policy revisions should be submitted to the provost/vice president through a policy review committee.

New policies may originate from individual students, faculty or staff members, administrators, or from ad hoc or standing committees, groups, or boards; new policies must be submitted through the same process described above for policy revisions.

New or revised policies should be submitted for approval to the Office of the Board of Regents by the ~~president, vice presidents~~*individual responsible for the policy's implementation*, general counsel, or chief audit executive. The deadline for submission is approximately six weeks before each quarterly board meeting. Each submission must include a completed Policy Summary Form. The coordinator of board affairs will format the submitted policies for consistency and post online for campus-wide review and input. Additionally, copies will be sent to the president, and vice presidents, *and other division heads*. All policies are reviewed by the general counsel. Proposed

policies or revisions should be submitted to the board members in the agenda book ten days before each regular board meeting.

Following approval by the Board of Regents, policies are available in the online policy manual. A campus-wide email will be sent to highlight policy changes after each board meeting. Each university division will brief its staff concerning changes to relevant policies during staff meetings that follow each board meeting.

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: General Counsel; Coordinator of Board Affairs

Forms: Policy Summary Form (Board of Regents Office)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Reasonable Workplace Accommodations For Disabilities

Policy Number: 11.22

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

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

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

Purpose of Policy (what does it do): Stephen F. Austin State University shall make reasonable workplace accommodation for any employee having a known physical or mental impairment as defined under the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990 and the ADA Amendments Act of 2008, or state regulations, which does not constitute an undue hardship to the university.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: 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, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Reasonable Workplace Accommodation for Disabilities

Original Implementation: April 20, 2004
Last Revision: July *26*~~23~~, 202*2*~~19~~

Purpose

Stephen F. Austin State University shall make reasonable workplace accommodation for any employee having a known physical or mental impairment as defined under the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990 and the ADA Amendments Act of 2008, or state regulations, which does not constitute an undue hardship to the university.

Definitions

~~A d~~*D*isability - ~~is~~ *a physical or mental impairment that substantially limits one or more major life activities; a record (or past history) of such an impairment; or being regarded as having such impairment*~~a known mental or physical impairment that substantially limits one or more major life activities of an individual either evidenced by a record of such impairment; or by being regarded as having such impairment~~.

~~A q~~*Q*ualified individual with a disability - ~~is~~ an individual who meets all the skills, experience, knowledge, educational and other job requirements of the position. In addition, the individual can perform the essential functions of the position with or without reasonable accommodation.

Reasonable accommodations - ~~are~~ modifications or adjustments to a job application process that enable a qualified applicant with a disability to be considered for the position such qualified applicant desires; or modifications or adjustments to the work environment, or to the manner or circumstances under which the position held or desired is customarily performed, that enable a qualified individual with a disability to perform the essential functions of that position; or modifications or adjustments that enable SFA's employees with a disability to enjoy equal benefits and privileges of employment as are enjoyed by its other similarly situated employees without disabilities.

~~An u~~*U*ndue hardship - ~~is~~ incurred when an accommodation request impacts the operations or business through the cost factors involved, or the effect on the safety of the requestor or other individuals, or due to the impact on the university's ability to conduct business.

General

Job postings will include a statement that all responsible workplace accommodations are requested

by calling the human resources department. The director of human resources or his/her designee will be responsible for overseeing the reasonable workplace accommodation policy and the procedures to ensure compliance.

Any employee requiring an accommodation shall notify his/her immediate supervisor as soon as practical, informing the supervisor of the nature of the disability. Any supervisor notified of a disability shall immediately report it to the director of human resources or his/her designee.

The employee shall provide to the director of human resources or his/her designee the following within a reasonable time from the date of notification, not to exceed fourteen (14) *calendar* days:

- A letter from an appropriate healthcare or rehabilitation professional. The letter shall contain a diagnosis, prognosis, and an evaluation as to the effect the impairment will have on the employee's ability to perform the essential duties associated with the employee's position.
- A copy of all documentation relevant to making a decision about reasonable accommodation. Relevant documents may include, but are not limited to, medical records.

The director of human resources or his/her designee may request a letter from the employee that includes:

- The nature and extent of the physical or mental impairment;
- A complete medical diagnosis by a qualified professional, including the results of any tests conducted to verify the extent of the condition;
- Which, if any, of the major life functions are substantially limited as a result of the employee's condition;
- A prognosis, including the permanent or temporary nature of the condition and a list of all job functions or tasks the employee cannot perform but can perform if reasonable accommodation is provided; and
- Recommendations for appropriate accommodations based on the job description and current duties, if applicable, including the source and type of any special equipment that may be needed.

The director of human resources or his/her designee shall confer with the employee to ascertain the employee's requirements and input on a reasonable accommodation.

Before making a decision regarding the accommodation, the director of human resources or his/her designee may submit the employee's request for accommodation, accompanying documentation and medical records to an appropriate health care professional or a disability committee of appropriate university employees familiar with determining disability status for evaluation and

recommendations at the university's expense. All information will be kept confidential by the expert or committee and all documentation provided to the expert/committee will be returned to the university by the expert/committee.

Based on the relevant information provided, the director of human resources or his/her designee shall determine what, if any, reasonable accommodation will be made and shall convey it to the employee and management. If accommodation would constitute undue hardship on the university, supporting documentation will state the reasons. An undue hardship determination will conform to definitions provided by the courts, ADA Amendments Act of 2008, and state regulations. Factors that may affect an accommodation decision should include, but are not limited to, the availability of funding, the amount of disruption of work of other employees, and the impact on the university's ability to conduct business.

Reasonable workplace accommodations taken may include making existing facilities readily available; modifications or adjustments to the work environment or manner or circumstances under which the position's essential functions are customarily performed; modifications or adjustments that enable the individual with the disability to enjoy equal benefits and privileges *of employment as are enjoyed by its* ~~as~~ other similarly situated employees without disabilities; and other appropriate adjustment to the work environment of a qualified individual with a disability.

Unless extenuating circumstances exist, the review process should not exceed a period of thirty (30) *calendar* days.

The director of human resources or his/her designee shall periodically confer with the employee with the disability to determine continuance of the workplace accommodation and shall notify the appropriate university personnel regarding the continuation or discontinuation of the workplace accommodation.

In addition to ADA information, all medical information concerning the employee requesting an accommodation shall remain confidential and separate from personnel files. This includes any doctor's statements, leave forms, or any other information that pertains to the medical condition or medical history of the employee. This pertains not only to all records kept by the human resources department, but extends to any records kept in the departmental offices.

~~This pertains not only to all records kept by the human resources department, but extends to any records kept in the departmental offices.~~

The president or his/her appointed representative shall periodically review and update this policy and procedures to ensure compliance with EEO laws.

Cross Reference: Rehabilitation Act of 1973, Pub. L. No. 93-112, 29 U.S.C. § 793, 34 C.F.R. § 104, 41 C.F.R. § 60-741; the Americans with Disabilities Act of 1990, Pub. L. No. 110-325, 42 U.S.C. §§ 12101-12213 as amended by the American with Disabilities Act Amendments Act of 2008, Pub. L. No. 110-325, 122 Stat. 3553; and the Tex. Lab. Code §§ 21.051-129

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Satisfactory Academic Progress for Financial Aid Recipients

Policy Number: 6.16

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

Date of last revision, if applicable: January 29, 2019

Unit(s) Responsible for Policy Implementation: Office of Financial Aid and Scholarships

Purpose of Policy (what does it do): This policy is required by federal regulation to monitor students academic progress for financial assistance eligibility.

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: Update to required verbiage related to rounding of calculation and the addition of a section on competency based calculations.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Rachele Garrett, Director of Financial Aid and Scholarships
Erma Brecht, Executive Director of Enrollment Management
Damon Derrick, General Counsel

Satisfactory Academic Progress for Financial Aid Recipients

Original Implementation: September, 1985
Last Revision: ~~January 29, 2019~~*July 26, 2022*

Federal regulations mandate minimum standards of satisfactory progress for students receiving financial assistance. Satisfactory academic progress (SAP) is the term used to denote a student's successful completion of coursework toward a certificate or degree. These standards apply to the student's entire academic history, whether financial aid was received or not, and to all types of aid~~: grants, loans, and work study~~. The standards for determining progress for continued financial aid at the university are composed of three separate measurements: grade point average (GPA), pace of completion, and maximum hours allowed for a degree level *program*. *Standard rounding rules apply for all SAP measurements. SAP standards apply to all federal, state, and institutional financial assistance programs with exceptions as defined by applicable law.* ~~All students must be enrolled in a degree or certificate program to be eligible to receive state or federal financial aid.~~

Satisfactory academic progress will be evaluated after each fall, spring and summer ~~terms~~*semesters*. ~~Although s~~Summer ~~terms include Maymester, Summer I and Summer II, the summer~~ SAP evaluations will only occur at the end of Summer II. ~~Students who fall behind in their coursework or fail to achieve minimum standards for grade point average and completion of classes may lose their eligibility for all types of federal, state and university aid.~~ Students will be notified of their financial aid eligibility via university email. *If SAP is not met, loss of financial aid occurs immediately.* ~~Students can find their SAP status within the financial aid menu on the university student portal.~~

All ~~S~~students *must be enrolled in a degree or certificate program to be eligible to receive state or federal financial aid.* ~~w~~ *Students w*ho are admitted to *the university*~~Stephen F. Austin State University (SFA)~~ as non-degree, pro*bationary,*~~visional,~~ transient, career interest or self-improvement *or*~~,~~ course audit~~, or concurrent enrollment~~ shall ~~NOT~~ *not* be eligible to receive state or federal financial aid. ~~When the student is admitted to a degree program or special student status has changed, a student may then be considered for financial assistance.~~ The U.S. Department of Education does not recognize academic fresh start and requires an institution to count *all* courses applicable to a student's major ~~(regardless of whether or not financial aid was received) in~~ *in* evaluating a student's SAP.

Financial aid probation/suspension is different from academic probation/suspension. Students on academic suspension, who are allowed by their academic dean to attend, may receive financial aid only if they meet the financial aid satisfactory academic requirements.

~~SAP standards apply to all federal, state, and institutional financial assistance programs with~~

~~exceptions as defined by applicable law.~~

GRADE POINT AVERAGE (GPA)

For financial aid purposes, an undergraduate student must maintain a cumulative GPA of 2.0, and graduate or doctoral students must maintain a cumulative GPA of 3.0. Grade point averages are verified at the end of each semester.

PACE OF COMPLETION

For financial aid purposes, students must complete 67% of the cumulative hours attempted at ~~SFA~~*the university*, including accepted transferred hours. Pace of completion is measured at the end of each semester.

Students that are in subscription-based programs are exempt from the pace portion of SAP; however, a student in this type of program is not eligible for a subsequent disbursement until all prior credit hours have been completed.

Grades of A, B, C, D, RA, RB, RC, RP or P denote satisfactorily completed credit hours. Repeated and remedial courses are counted in the calculation of pace of completion. Grades of F, W, WH, WF, WP, RD, RF, RWH, RWP, RWF, RW, or QF are not satisfactory. *Incompletes (grade of WH) do not affect a student's cumulative GPA for SAP but count as credit hours attempted toward both pace and maximum time frame.*

MAXIMUM HOURS ALLOWED FOR DEGREE OR CERTIFICATE

For financial aid purposes, the maximum number of hours allowed is one-and-a-half times the minimum program length for all degree programs~~ and allowable certificate programs~~. A student's entire *current* academic record is used in calculating maximum hours allowed. *Students exceeding the allowable* ~~Maximum hours allowed are verified at the end of each semester and students exceeding the allowable~~ number of hours will be denied further financial aid and will not be eligible for a warning period. *Maximum hours allowed are verified at the end of each semester.*

WARNINGS

Students will be given a warning semester when the required GPA or pace of completion is not met. At the end of the warning semester, students not in compliance are not eligible for financial aid. Students who have reached the maximum hours allowed are not eligible for a warning semester.

APPEALS

Students who are not making satisfactory academic progress and have had a warning semester may file an appeal with the *Office of F*~~f~~inancial *A*~~a~~id *and Scholarships* ~~office~~ within thirty (30) days after the first class day of the semester. Appeals ~~should~~ *must* state why the student failed to meet satisfactory academic progress and what has changed that would allow the student to *make satisfactory academic progress* ~~fulfill the requirements~~ at the end of the next *evaluation period*~~semester~~.

Appeals will only be accepted in the case of extenuating circumstances, such as death in the family, illness or injury to the student or immediate family member, or mitigating circumstances beyond the student's control. Appeals based solely on financial and/or emotional needs without sufficient explanation or documentation will not be approved. Appeals must include documentation to support extenuating circumstances. All decisions on appeals are final. Students will be notified of the ~~disposition~~ *outcome* of their appeal ~~in writing~~. A student who filed a financial ai*d* ~~d~~appeal must be prepared to pay registration costs regardless of any pending appeal status.

If an appeal is granted, and the student can regain eligibility in one semester, the student is placed on financial aid probation. A student who is placed on financial aid probation may receive financial aid for one subsequent semester. If an appeal is denied or is not submitted, the student must meet the minimum SAP standards at the end of the next evaluation period in order to regain financial aid eligibility.

ACADEMIC PLAN

Students may be ~~given~~ *placed on a financial aid* ~~an~~ academic plan if they cannot meet the minimum SAP requirements at the end of the next evaluation period. The plan will specify the number of hours that must be completed and/or the grade point average that will be necessary to bring the record back into compliance. Failure to meet the standards established in the academic plan will result in the ~~loss~~ *denial* of future financial aid eligibility.

~~**DEFINITIONS**~~

~~**Audited Courses**~~

~~Students may audit regular academic courses; however, these courses are not eligible for financial aid. Audited courses will not impact a student's SAP eligibility.~~

Change of Major

Students are allowed to make changes in their course of study ~~and major~~ for purposes of this policy; however, all changes will count in a student's SAP calculation. Change of major can result

in a possible overage of attempted credit hours which would impact the maximum time frame component.

~~**Conflicting Information**~~***Grade Change***

~~All conflicting information is reviewed for SAP monitoring. For example, l~~*L*ate posted grades or grade changes will not automatically change current *SAP* status. Students may request that the SAP status be recalculated after they have confirmed with the registrar that the grade change has been posted to their academic record.

~~**Evaluation**~~

~~Loss of Title IV eligibility occurs immediately if SAP is not met. If the student's appeal is successful, the student is placed on financial aid probation and Title IV funds are disbursed for the next payment period only. The student must meet SAP at the end of each fall, spring or summer term or comply with the requirements of the academic plan designed to ensure the student will make SAP by a specified point in time.~~

~~**Incompletes**~~

~~Incompletes (grade of WH) do not affect a student's cumulative GPA for SAP, but count as credit hours attempted toward both pace and maximum time frame. Students with a grade of incomplete are encouraged to contact the financial aid office for further evaluation.~~

Pass/Fail Courses

In some classes, students receive a grade of either pass or fail. A passing grade will be included in the student's pace of completion and maximum time frame calculations. A grade of F will be included in the student's GPA, pace of completion and maximum time frame calculations.

Financial Aid Probation

If an appeal is granted, the student is placed on financial aid probation. A student who is placed on financial aid probation may receive financial aid for one semester. At the conclusion of the financial aid probation period, the student must meet the SAP standards or will no longer be eligible for financial aid.

Developmental Courses

Students are eligible to receive financial aid for developmental courses. These courses are ~~counted~~ *included in the pace of completion and maximum time frame*~~in the~~ calculation.~~ of both attempted~~

~~and earned hours for determining satisfactory progress.~~

Repeated Coursework

Students are allowed to repeat a course and, if passed, have it count toward enrollment for financial aid eligibility once. Each course attempt will count toward a student's pace of completion. ~~and all prior attempts with lower grades will count as unsuccessful credit hours attempted.~~

Transfer Credits

Transfer credit grades will not count toward a student's cumulative GPA; however, these will count ~~as~~ *toward pace of complete and maximum time frame calculations*~~both attempted and earned hours toward both pace of completion and maximum time frame for SAP~~.

Withdrawals

Withdrawals do not *count in a student's* ~~affect a student's~~ cumulative GPA ~~for SAP,~~, but count as credit hours attempted toward both pace of completion and maximum time frame. A withdrawal (grade of W) is different from a course which is dropped (no grade and no record of attempt). Students who withdraw prior to the first class date will not be penalized for SAP purposes. ~~Should a student withdraw after the first class date, those hours will count towards a student's pace of completion and time frame calculation.~~

Financial Aid Warning

Students will be given a warning semester when the required GPA or pace of completion is not met. At the end of the warning semester, students not in compliance are not eligible for financial aid. Students who have reached the maximum hours allowed are not eligible for a warning semester.

Cross Reference: 20 U.S.C. 1091(a)(2), (c); 34 CFR 668.16(e), 668.32(f), 668.34; Military Service Activation (6.14)

Responsible for Implementation: ~~Provost and Vice President for Academic Affairs~~*Executive Director of Enrollment Management*

Contact for Revision: Director of *Office of* Financial Aid *and Scholarships*; ~~Provost and~~ *Executive Director of Enrollment Management*~~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: Second Baccalaureate Degrees

Policy Number: 6.18

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): Speaks of commitment to helping those wishing to achieve a second baccalaureate degree at SFA.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for <u>each</u> substantive revision: Word clairificaiton.

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

Second Baccalaureate Degrees

Original Implementation: January 25, 2010
Last Revision: July 23, 2019

Stephen F. Austin State University (SFA) is committed to facilitating the timely completion of academic degrees and *to* providing opportunities to achieve second degrees at the baccalaureate level.

Students who hold a baccalaureate degree from an accredited institution, including SFA, may earn a second baccalaureate degree from SFA.

The following conditions apply to a second baccalaureate degree:

- Students who earned a first baccalaureate degree from another accredited institution must complete all requirements for the Texas Core Curriculum *and~~,~~ the SFA In-Residence policy*, ~~at least 30 semester hours at SF~~ as well as all the requirements for a second degree with at least 1~~5~~*2* hours taken in the major field at the upper-level.
- Students who earned a first baccalaureate degree from SFA *must meet the SFA In-Residence policy for the second degree and* may apply ~~up to 12 hours in~~ transfer credit to the second degree *at the discretion of the advisor and/or academic unit head*.
- Students must satisfy all prerequisites, co-requisites, and major requirements for the second degree program as required by the academic unit.
- Students seeking a second baccalaureate degree requiring a minor may use the major completed in the first bachelor's degree in lieu of a minor.
- At the discretion of the major advisor or academic unit head, courses completed successfully in the first bachelor's degree may be applied to the requirements for the second bachelor's degree.

Cross Reference: ~~None~~*In-Residence Requirement (6.15)*

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

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

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Small-Size Classes

Policy Number: 7.26

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):

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: Early review requested by Provost

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for <u>each</u> substantive revision: Policy name change to Course Enrollment. Multiple updates and changes to entire policy to help with the flow and understanding of class size.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

~~Small-Size Classes~~ *Course Enrollment*

Original Implementation: November 4, 1977
Last Revision: ~~April 30, 2019~~*July 26, 2022*

Course enrollment should reflect attention to learning theories, learner dynamics, and instructional quality controls as well as reflect institutional efficiencies and appropriate returns on investment. Course revenues include tuition and formula funding; differential tuition allocations are connected to course enrollments. Consequently, undergraduate courses should enroll a minimum of ten (10) students and graduate/doctoral courses should enroll a minimum of five (5) students. Course enrollment exceptions to these guidelines must be approved by the dean and the provost no later than five (5) working days prior to the beginning of the semester/term.
~~This policy applies to courses for which the primary mode of instruction is lecture, laboratory, or seminar. Small-size classes are undergraduate classes with fewer than 10 registered students and graduate classes with fewer than five registered students, per THECB Chapter 5, sections 5.23 (Definitions) and 5.26 (Offering of Small Classes by Public Universities). No small-size classes will be offered in any term except as approved by the Provost and authorized by the Board of Regents of Stephen F. Austin State University.~~

~~Small-size classes~~*Course enrollment exception request*~~s~~ ~~that~~ *must provide a rationale and could* ~~meet~~ *reflect* one or more of the following ~~requirements~~*circumstances* ~~may be~~*for approval consideration* ~~authorized to be taught~~:

- *1.* Required course for graduation (~~This~~ *The* course is not offered each semester or term and, if ~~cancelled,~~ *canceled*,~~.~~ may affect the date of graduation of those enrolled);
- *2.* Required course for majors in the field that should be completed in a given semester (term) in order to keep proper sequencing of courses;
- *3.* Course in a newly established degree program *(*~~yrs 1 & 2~~*years one and two)*, concentration, or support area;
- ~~Interdepartmental (cross-listed) courses taught as a single class by the same faculty at~~
- *4.* ~~the same~~*using an identical* ~~station~~*schedule/location/delivery mode*, provided that the combined courses do not constitute a small ~~class~~*enrollment course*;
- *5.* First time offering of a course;
- *6.* ~~Class size~~*Course enrollment* limited by accreditation or state licensing standards;
- *7.* ~~Class size~~*Course enrollment* limited by the availability of laboratory, ~~or~~ clinical facilities, *or practicum site(s)*;
- ~~Voluntarily offered by a faculty member in excess of the institutional teaching load~~
- *8.* requirement and for which the faculty member receives no additional compensation~~.~~*;*
- *9. Additional justifications for exceptions may be considered with the approval of the dean and provost.*

Procedure:

1. An academic unit head submits a ~~small-size class~~*course enrollment exception* ~~approval~~ *request* form to the appropriate dean requesting approval to offer ~~small-size class~~*small enrollment course*(es) *at least five working days prior to the beginning of the semester/term.*
2. The dean approves/disapproves the request and forwards the form to the associate provost.
3. The provost and *executive* vice president for academic affairs approves/disapproves the request and sends copies of the small class form to the dean, academic unit head, and the registrar.

Cross Reference: ~~Faculty Handbook;~~ Tex. Educ. Code § 51.403

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

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

Forms: ~~Small-size Class Approval~~*Course Enrollment Exception Request* Form

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Student Code of Conduct

Policy Number: 10.4

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

Date of last revision, if applicable: 11/1/2021

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

Purpose of Policy (what does it do): This policy describes the expected conduct of SFA students, and the disciplinary process for students who are alleged to have violated those expectations.

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: Minor updates to office names

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for <u>each</u> substantive revision: 1. Deleted note of when the policy would go into effect. 2. Updated office name change.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Student Affairs Policy Committee
Brandon Frye, Vice President Student Affairs
Damon Derrick, General Counsel

Student Code of Conduct

Original Implementation: January 19, 1988
Last Revision: ~~November 1, 2021~~ *July 26, 2022*

~~This version of the Student Code of Conduct policy is effective January 1, 2022.~~

General Policy

Choosing to join the Stephen F. Austin (SFA) State University community obligates one to adhere to a code of behavior that embraces academic and personal integrity; respect for the dignity, rights and property of others; and an intolerance of discrimination and harassment. In keeping with this obligation, students and student organizations are expected to comply with the standards outlined in the Student Code of Conduct.

The SFA Way

The SFA community holds itself to a standard called The SFA Way. At its basis, The SFA Way encourages the entire university community to "strive for personal excellence in everything we do." The SFA Way encourages students to follow the principles of Respect, Caring, Responsibility, Unity, and Integrity.

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Article I: Definitions

1. The term "Advisor" means an individual serving as a guide for a Charged Student, Student Organization, or a Victim during the Student Conduct Process.
2. The term "Appeal" means the review by the designated Appeal Officer of the full record of the Student Conduct Process and the Sanctions imposed to determine the adequacy of the procedures used, determination of responsibility, and the fairness of the sanctioning.
3. The term "Appeal Officer" means a person or persons authorized by the Vice President of Student Affairs to consider an Appeal of an Outcome of the Student Conduct Process.

4. The term "Charged Student" means a Student who has been alleged to have violated one or more provisions within the Student Code of Conduct.
5. The term "Conduct Officer" means person authorized by the Vice President of Student Affairs to administer the Student Code of Conduct.
6. The term "Dean of Students" means the individual further designated by the Vice President of Student Affairs with responsibility for administering the Student Code of Conduct. For the purposes of this policy, "Dean of Students" may refer to that individual's designee.
7. The term "Dean of Students Office" means the department designated by the Vice President of Student Affairs for administering the Student Code of Conduct. The Office of Student ~~Rights and Responsibilities~~*Conduct and Outreach* is included within the Dean of Students Office.
8. The term "Email" means the University's recognized medium for means of communicating with Student or Student Organizations per SFA Policy 15.1, Email for University Communication.
9. The term "Faculty" or "Faculty Member" means a person hired by the University to conduct classroom or teaching activities or who is otherwise considered by the University to be a member of its faculty.
10. The term "Policy" means the written regulations of the University as found in, but not limited to, the University web page and online policy manuals.
11. The term "Reporting Party" means an individual who submits a report alleging a violation of this Student Code of Conduct. The Reporting Party and Victim may or may not be the same person.
12. The term "Student" includes all persons admitted to the University and are enrolled or are eligible to enroll at the University.
13. The term "Student Organization" means any number of Students who meet as a group, whether as a registered Student organization or as an unaffiliated Student organization, on campus or at a recognized University event. This may also include, but is not limited to, sports clubs, athletic teams, and other types of Student groups. The Student Organization's executive officer will serve as the representative for the Student Organization during the Student Conduct Process unless the Student Organization designates in writing to the Dean of Students Office another Student member to represent the Student Organization during the Student Conduct Process.
14. The term "University" means Stephen F. Austin State University.
15. The term "University Premises" includes all land, buildings, facilities, and other property in the possession of or owned, used, or controlled by the University (including adjacent streets and sidewalks).
16. The term "University Official/Staff Member" includes a person employed by the University.
17. The term "Vice President of Student Affairs" is the person designated by the University President to be responsible for the administration of the Student Code of Conduct.
18. The term "Victim" is any individual who has alleged injury or harm by an SFA Student or Student Organization. Victims are entitled to varying levels of participation in the Student Conduct Process, depending on the nature of the allegations. As articulated in the Family Educational Rights and Privacy Act (See 34 C.F.R. § 99.31 and 99.39) a victim who has been subject to Arson, Assault, Burglary, Criminal Homicide, Destruction/damage/vandalism of property, Kidnapping, Robbery, Forcible Sex Offences, or Non-forcible sex offenses (incest or statutory rape) is entitled to be notified of their rights

and of the outcome of the disciplinary process. All other victim rights articulated in this regulation apply to all victims.

Article II: Jurisdiction

This Student Code of Conduct shall apply to conduct that occurs on University Premises, at University sponsored activities, in electronic communities/instructional sites that exist because of or are associated with the University and off-campus conduct that adversely affects the University community and/or the pursuit of its objectives. The Student Code of Conduct shall apply to a Student or Student Organization's conduct even if a Student withdraws from the University while a disciplinary matter is pending. The Vice President of Student Affairs or designee shall decide whether the Student Code of Conduct shall be applied to conduct occurring off campus, on a case-by-case basis, at that individual's sole discretion. Student conduct that may be defined as sex-based misconduct may be reviewed under university policy 2.13 (Title IX).

Article III: Violations

1. Harm to others, including but not limited to:
- **a.** Actions which cause or may cause injury, create conditions that cause injury, or which cause a reasonable apprehension of physical injury.
- **b.** Endangering the physical health or safety of any person or actions that cause a reasonable apprehension of such harm.
- **c.** Harassment (physical, verbal, graphic, written, or electronic) that is sufficiently severe, pervasive, or persistent to create an objectively hostile environment that interferes with or diminishes the ability of an individual to participate in or benefit from the services, activities, or privileges provided by the University. This provision shall not be used to discipline a Student or Student Organizations for speech protected by the First Amendment.
- **d.** Physical violence of any nature against any person. This includes fighting; assaulting; battering; using a knife, gun, or other weapon; or acting in a manner that threatens or endangers the physical health or safety of any person or causes a reasonable apprehension of such harm.
- **e.** Acts of animal cruelty, including but not limited to:
  - **i.** Intentionally, knowingly, or recklessly torturing, causing serious bodily injury to an animal, or killing an animal.
  - **ii.** Failing to provide necessary food, water or care for an animal in the person's custody.
  - **iii.** Abandoning an animal in the person's custody.
  - **iv.** Causing one animal to fight with another animal or overworking an animal in a manner that may cause serious bodily injury.
- **f.** Sexual Harassment, Quid Pro Quo Sexual Harassment, Hostile Environment Sexual Harassment, Sexual Assault, Domestic Violence, Dating Violence, and Stalking as defined by SFA Policy 2.13, Title IX, and Other Sexual Harassment and Other Unprofessional/Inappropriate Conduct as defined by SFA Policy 2.11, Nondiscrimination.
- **g.** Sexual Exploitation including but not limited to:

i. Taking non-consensual or abusive sexual advantage of another for the benefit of oneself or a third party.
ii. Photography or video recording of another person in a sexual, intimate, or private act without that person's full knowledge and consent.
iii. Purposeful distribution or dissemination of sexual or intimate images or recordings of another person without that person's full knowledge and consent.
iv. Sexual voyeurism.
v. Inducing another to expose one's genitals or private areas.
vi. Prostituting another Student.
vii. Engaging in sexual activity while knowingly infected with an STD.

h. Engaging in private or sexual acts in a publicly viewable location, such that it is offensive to accepted standards of decency. Including, but not limited to exposing one's genitals or private area(s), public urination, defecation, and/or public sex acts.

2. Hazing of any kind including but not limited to:

a. Any intentional, knowing, or reckless act occurring on or off campus by one person alone or acting with others, that endangers the mental or physical health or safety of a currently enrolled or prospective Student for the purpose of new member intake, being initiated into, affiliating with, holding office in, or maintaining membership in that organization.
b. Any type of physical brutality such as whipping, beating, striking, branding, electronic shocking, placing a harmful substance on the body, or similar activity.
c. Any type of activity which involves sleep deprivation, exposure to the elements, confinement in a small space, calisthenics or other similar activity that subjects the Student to an unreasonable risk of harm or that adversely affects the mental or physical health or safety of the Student.
d. Any activity which involves consumption of a food, liquid, alcoholic beverage, liquor, drug or other substance that subjects the Student to an unreasonable risk of harm or that adversely affects the mental of physical health of the Student.
e. Any activity that induces, causes, or requires the Student to perform a duty or task which involves a violation of the Penal Code.
f. Any activity that involves coercing the Student to consume drugs or alcoholic beverage or liquor in any amount that would lead a reasonable person to believe the Student is intoxicated.
g. Soliciting, encouraging, aiding or directing another engaging in hazing.
h. Intentionally, recklessly or knowingly permitting hazing to occur.
i. Having first-hand knowledge that a specific hazing incident is being planned or has occurred and failing to report said knowledge in writing to the Dean of Students, SFA Police, SFA Fraternity and Sorority Life or the Office of Student ~~Rights and Responsibilities~~*Conduct and Outreach*.
j. Any other violation of SFA Policy 10.3, Hazing.

3. Dishonesty of any kind, including but not limited to:

a. Providing false or misleading information to the University.
b. Providing false or misleading information to a University Official or Faculty.
c. Forgery, alteration, or misuse of any documents, records, identification, access cards, or keys.

- **d.** Unauthorized possession, duplication or use of keys, access cards, or identification cards.
- **e.** Any action taken to deceive University Officials or Faculty regarding one's identity.

4. Harm to Property including but not limited to:
- **a.** Vandalism of or damaging University property or property of another others.
- **b.** Theft of any kind, including seizing, possessing, selling, or concealing property with knowledge that it has been stolen.
- **c.** Unauthorized entry into, presence in, or use of University facilities, equipment, or property.
- **d.** Any tampering, removal, and/or damage to fire and safety equipment on University property (e.g., residence halls, student center, campus recreation center and all academic buildings, etc.). Tampering includes pulling false fire alarms, discharging fire extinguishers, removing exit signs, and interfering with smoke detectors and sprinklers.
- **e.** Using or possessing any University key or access card without proper authorization. No Student or Student Organization is allowed to have a University key duplicated without prior permission from faculty or staff with authority to provide that permission.
- **f.** Obstruction of the free flow traffic on University premises or at University-sponsored or supervised activities.
- **g.** Posting of commercial advertising on University property without approval from University Officials.

5. Disorderly Conduct including but not limited to:
- **a.** Disruption or Interference of Students, faculty, administration, staff, the educational mission, or routine operations of the University.
- **b.** Commercial solicitation on campus or with University resources without prior approval from University officials.
- **c.** Failure to comply with a reasonable and lawful request or directive of University Officials.
- **d.** Facilitation of Student misconduct including but not limited to assisting, conspiring, soliciting, or encouraging others to engage in conduct which violates the Student Code of Conduct.
- **e.** Conducting, organizing, or participating in any activity involving games of chance or gambling except as permitted by law and University policy.
- **f.** Driving in a manner that recklessly endangers the health and/or safety of oneself or others on campus. This may include but is not limited to the operation of a vehicle, bicycle, skateboard, scooter, and other mobile devices.
- **g.** Failure to present proper identification upon request by University Officials or Faculty, including law enforcement officers.

6. Misuse of Computing Resources including but not limited to:
- **a.** Failure to comply with University policies, license agreements, or contracts.
- **b.** Unauthorized alteration or destruction of computer equipment, software, network, data or system performance.
- **c.** Unauthorized copying or distribution of University data.
- **d.** Use of University resources for unauthorized commercial purposes or personal gain.
- **e.** Harmful access, or invasion of privacy.

   f. Use of computing facilities and resources to interfere with the work of another Student, faculty member, staff member or University Official.

7. Obstruction of the Student Conduct process which includes but is not limited to:
   a. Colluding with or intimidating witnesses.
   b. Providing false or incomplete information that may mislead an investigation/hearing or intentionally omitting relevant information from an investigation or hearing.
   c. Deliberately disrupting or interfering with the Student Conduct process.
   d. Tampering with information to be used in a Student Conduct process.
   e. Attempting to influence the impartiality of a Student Conduct Hearing Board member.
   f. Violating and/or failing to comply with Sanctions assigned through the Student Conduct process.
   g. Retaliation against any individual for filing a complaint or report of alleged violations of the Student Code of Conduct or otherwise participating in the student conduct process.

8. Prohibited possession or use of alcohol which includes but is not limited to:
   a. Possession or consumption of alcohol while under the age of 21.
   b. Purchasing, providing, or distributing alcohol to any individual who is under the age of 21.
   c. Possession and/or use of a common source (keg, beer bongs, etc.) on University property or at a University sanctioned or sponsored event.
   d. Possessing, furnishing, or consuming alcohol in unauthorized areas of the University.
   e. Operating a motor vehicle or another form of transportation while intoxicated or while under the influence of alcohol as defined by state law.
   f. Participation in or hosting of drinking games which involve the consumption of alcoholic beverages on University property or at a University sanctioned or sponsored event.

9. Prohibited possession or use of drugs which includes but is not limited to:
   a. Possession or use of any controlled substance, controlled substance analogues, and/or drug paraphernalia prohibited by SFA Policies or of any federal, state, or local law or ordinance.
   b. Abusing legally obtained drugs by failing to take the drug as directed.
   c. Misuse of non-controlled substances not intended for human consumption (i.e. spice, bath salts, rubbing alcohol) or not in compliance with manufacturer specifications.
   d. Sale or distribution of narcotics, prescription drugs, controlled substances, controlled substance analogues, or drug paraphernalia

10. Conduct which could constitute a violation SFA Policy or of any federal, state, or local law or ordinance including, but not limited to:
   a. The use or sale of all tobacco and vape products as defined and prohibited by SFA Policy 13.21, Smoking Vaping and Use of Tobacco Products.
   b. Violations of SFA Policy 13.9, Firearms, Explosives, and Ammunition policy.
   c. Violations of Residence Life Community Guidelines.

Article IV: The Student Conduct Process

The following rules of procedure in student disciplinary matters are adopted to ensure that the

University will fulfill the requirements of procedural Due Process in student conduct proceedings, outlined in the Student Code of Conduct. These rules of procedure shall be followed in any disciplinary proceeding, subject to the authority of the Board of Regents and the authority delegated to the President of the University to exercise jurisdiction over disciplinary matters of the University. Cases involving sex-based misconduct, including, but not limited to, sexual violence, domestic/dating violence, and/or stalking may be investigated according to SFA Policy 2.13 (Title IX).

The burden of proof in the Student Conduct process is by a preponderance of the evidence, defined as evidence which leads a reasonable person to conclude something is more likely than not.

1. **Determination of Charges**
    - **a.** Alleged violations of the Student Code of Conduct may be reported to the Dean of Students Office by anyone, including but not limited to, University Police or other University departments, faculty, staff, Students, or third parties. Reports may be sent anonymously; however, this may significantly limit the University's ability to investigate, collect evidence, or take effective action.
    - **b.** The Dean of Students Office will review available information to determine if a Student or Student Organization will be charged with a violation of the Student Code of Conduct. The Dean of Students may gather additional information if deemed necessary to assist in their determination.
    - **c.** The Dean of Students may choose to withdraw charges if, at any point in the Student Conduct Process, they are no longer deemed warranted.
2. **Educational Conference**
    - **a.** Once a Student or Student Organization has been charged with an alleged violation of the Student Code of Conduct, the first step in the process is an Educational Conference. The Educational Conference is not a hearing. The purpose of the Educational Conference is for a Conduct Officer to review with the Charged Student or Student Organization, and any Victim, the allegations and charges, their rights, the Student conduct process, possible sanctions, and to answer questions. During the Educational Conference the Charged Student or Student Organization will be given the opportunity to accept responsibility for the charges and any assigned sanctions, if applicable.
        - **i.** If the Charged Student or Student Organization accepts responsibility for the charge(s) and any assigned sanctions, then the Charged Student or Student Organization will be asked to sign the Educational Conference form indicating that individual's acceptance and their waiving of their right to a hearing and appeal. The Charged Student or Student Organization and any victim will then receive an email documenting their acceptance of responsibility and assigned sanctions within five (5) business days from the Dean of Students Office.
        - **ii.** If the Charged Student or Student Organization does not accept responsibility for the charge(s) or does not agree with the assigned sanctions, then the Charged Student or Student Organization will be asked to sign the Educational Conference form indicating that decision and the case will be referred to a Student Conduct Hearing

iii. If the Charged Student or Student Organization fails to attend an Educational Conference or complete the Educational Conference Form, the case will be referred to a Student Conduct Hearing

3. Student Conduct Hearing

Charged Students or Student Organizations who choose to not accept the outcome of the Educational Conference or do not participate in the Educational Conference, will be referred to a Student Conduct Hearing.

a. Hearing Notification: The Dean of Students Office shall provide notice of the hearing to the Charged Student or Student Organization's SFA email. The notice will set forth the date, time, and place of the hearing; the charges assigned; and the rights of the Student or Student Organization. The Charged Student or Student Organization will be informed that an Advisor may be present during the hearing. The Student or Student Organization must notify the Dean of Students Office if an attorney will serve as an Advisor to allow a representative from the University's General Counsel's Office to attend. The notice shall be given at least five (5) business days prior to the Student Conduct Hearing. Failure to do so may result in the hearing being rescheduled. Any request to reschedule shall be made in writing to the Dean of Students Office, who has the authority to reschedule the hearing for good cause. Failure to attend the Student Conduct Hearing will lead to the case being heard in the Charged Student or Student Organization's absence. A Charged Student or Student Organization's lack of attendance shall not be used against the Charged Student or Student Organization in any determination of responsibility and/or sanctions.

b. Victim Hearing Notification: In cases with a Victim, The Dean of Students Office shall provide notice of the hearing through email. The notice will set forth the date, time, and place of the hearing and the charges assigned. The notice shall be given at least five (5) business days prior to the Student Conduct Hearing. This notification will also advise the victim of his or her rights in the Student conduct process, including but not limited to, the right to submit a list of questions, the right to submit a victim impact statement, the right to request a copy of his or her record, the right to an Advisor, and the right to provide information in a separate room from the Charged Student or Student Organization.

c. Student Conduct Hearing Board: The Dean of Students Office will choose at least 3 individuals, with at least 1 Faculty/Staff and 1 Student, who are available to serve on the Student Conduct Hearing Board. These Student Conduct Hearing Board members are comprised of those appointed to serve on the Student Conduct Hearing Board. Student Conduct Hearing Board Members are appointed to the Student Conduct Hearing Board by the Vice President of Student Affairs. All appointments are for one (1) academic year. Faculty, Staff, and Students may serve an unlimited number of terms.

d. Pre-Hearing Information: The Dean of Students Office will make available pre-hearing information including copies of records that will be presented by the University at the hearing, and a list of potential University witnesses, and a summary of the information the witness(es) may provide. The pre-hearing information will be available at least three business days in advance of the hearing. The Charged Student or Student Organization must provide the Dean of Students Office with a list of potential witnesses and copies of any records that they will present at the hearing at

least two (2) business day in advance of the hearing. Evidence and/or witnesses that are not provided at least two (2) business day before the hearing will only be included in the hearing at the discretion of the Student Conduct Hearing Board Chair.

e. Advisors: An Advisor may accompany a Charged Student or Student Organization or a Victim in a Student Conduct Hearing. An Advisor may not directly participate in the Student Conduct Hearing in any capacity other than providing advice and support to the Charged Student or Student Organization or Victim they are accompanying. A Charged Student or Student Organization and a Victim may select anyone to serve as their Advisor as long as this individual is not a witness to or involved in the case. A Charged Student or Organization and a Victim may only have one Advisor present during a Student Conduct Hearing. If the chosen Advisor is an attorney, the Charged Student or Student Organization or Victim must inform the Dean of Students Office at least two (2) business days in advance of the Student Conduct Hearing to allow for a representative of the University General Counsel's Office to attend. Failure to do so may result in the hearing being rescheduled. For the purposes of this policy, an Advisor who is involved in any other part of the Student Conduct Process shall be held to these standards.

f. Role of Hearing Board Chair: A Faculty or Staff Student Conduct Hearing Board member, in attendance at the Student Conduct Hearing, will serve as the Hearing Board Chair. The Hearing Board Chair manages the Student Conduct Hearing Board and is responsible for the decorum of the hearing, and to ensure that all procedures are properly followed. Each person in attendance is expected to exhibit proper dignity, courtesy, and respect. The chair may dismiss any person from the hearing who interferes, obstructs, or fails to abide by the rulings of the chair. Procedural questions which arise during the hearing not covered by these general rules shall be determined by the chair, whose ruling shall be final unless the chair presents the question to the committee, in which by majority vote shall be final. In case of a tie and a majority is unable to be reached, the vote of the Hearing Board Chair is the deciding vote. The chair may also seek guidance from the Dean of Students Office as needed.

g. Order of Proceedings During the Student Conduct Hearing: The Hearing Board Chair will facilitate the Student Conduct Hearing, determine the presence or absence of the Charged Student or Student Organization and/or Victim, verify the alleged misconduct, determine the presence of an Advisor, and explain any additional procedures to be employed during the hearing. The hearing will be recorded in either audio or video format.

The Charged Student or Student Organization will be given the opportunity to provide an opening statement. This is the opportunity for the Charged Student or Student Organization to state their case and present their evidence. After the Charged Student or Student Organization provides their opening statement, the Student Conduct Hearing Board and any Victim will be given the opportunity to question the Charged Student or Student Organization.

The Dean of Students' and the Charged Student or Student Organization's witnesses, if any, will then be called to provide a statement, present any evidence they may possess, and answer questions posed by the Student Conduct Hearing Board and the

Charged Student or Student Organization, and any Victims if applicable. The Dean of Students Office is unable to compel individuals to serve as a Witness. The Charged Student or Student Organization will be responsible for notifying their Witness(es) of the time, date, and location of the Student Conduct Hearing. Witnesses may participate in person, by telephone, or virtually if needed. Only one Witness will be allowed to participate in the Student Conduct Hearing at a time. The Hearing Board Chair may limit the number or disallow completely, character witnesses that have no direct knowledge of the alleged misconduct.

All questions asked by the Charged Student or Student Organizations, Victim, and any Witnesses must be directed to the Chair to determine if they are relevant and appropriate for the case.

After all Witnesses and evidence has been presented, the Charged Student or Student Organization may make a closing statement.

The Student Conduct Hearing Board will then convene in closed session to determine if the Charged Student or Student Organization is responsible or not responsible for the alleged violations of the Student Code of Conduct. If a finding of responsible is made for any of the alleged violations, The Student Conduct Hearing board will determine recommended sanctions. Determination and recommendation of Sanctions are outlined in the Sanctions section of this document (Article V).

The outcome of the Student Conduct Hearing will be sent to the Charged Student or Student Organization, and any victim, through email within five (5) business days following the close of the hearing. This time may be extended for deliberations when necessary and the Charged Student or Student Organization shall be notified of any such extensions. The outcome letter shall contain a decision on each charge, any findings of fact and any applicable sanctions. The Charged Student or Student Organization may appeal a finding of responsible within five (5) business days as outlined in the appeal section of these procedures.

Hearings are closed to the public and all information presented in the hearing is confidential and restricted to only those who have an absolute need to know. In cases involving multiple Charged Students or Student Organizations from the same incident, information obtained at one hearing may be used at another hearing.

Article V: Sanctions

Charged Student or Student Organizations who accept responsibility or are found responsible for violations of the Student Code of Conduct, will be assigned sanctions based on the violation, any aggravating or mitigating circumstances, and prior violations of the Student Code of Conduct. The Conduct Officer/Student Conduct Hearing Board will recommend sanctions to the Dean of Students or designee, who will make a final determination of sanctions. Recommended sanctions may be adopted, modified, or rejected. When recommended sanctions are not adopted by the Dean of Students or designee, the Dean of Students or designee shall provide the Charged Student or Student

Organization with the reasons for not adopting the recommendations in writing. One or more of the following sanctions may be assigned for violations of the Student Code of Conduct:

1. **Disciplinary Reprimand**: a written disciplinary sanction notifying a Student or Student Organization that the behavior did not meet University standards. All disciplinary reprimands will be taken into consideration if further violations occur.
2. **Disciplinary Probation**: a written disciplinary sanction notifying a Student or Student Organization that the behavior is in serious violation of University standards. Any additional violations occurring during a probationary period may result in more severe sanctions. In addition, restrictions may be placed on a Student or Student Organization's activities.
3. **Educational Requirements**: a Student or Student Organization is required to complete a specified educational sanction related to the violation committed. Such educational requirements may include, but are not limited to, completion of a seminar, written assignment, alcohol or drug assessment, and/or presentation. Fines may be associated with Educational Requirements due to the cost of the assigned assessment/program.
4. **Special Action:** A sanction designed to enhance the educational intent of the disciplinary process. Examples of sanctions include, but are not limited to restitution, community service, counseling suggestions, and restrictions or removal from academic courses, University housing, or extracurricular activities.
5. **Suspension:**
    a. A Student who is suspended is required to leave the University for a specified period of time. The Student must comply with all sanctions and complete all requirements prior to re-admission. During the suspension period the Student may not visit or come onto any SFA campus or attend any SFA sanctioned or sponsored event without specific written permission of the Vice President of Student Affairs and the SFA Chief of Police. While serving a suspension a Student is not in good standing.
    b. A Student Organization that is suspended is required to cease all activity during the specified time period. During this time, they are not recognized by the University as outlined in SFA Policy 10.9, Student Organization Formation and Recognition. Special Actions may also be attached to the suspension to enhance the educational intent of the disciplinary process. Suspended Student Organizations must submit a new application as an organization at the end of the suspension period.
    c. In certain situations, the Suspension may be placed in a deferred status.
6. **Expulsion:** A Student who is expelled is permanently barred from attending the University and is ineligible for readmission to the University. The Student may not visit or come onto any SFA campus or attend any SFA sanctioned or sponsored event without specific written permission of the Vice President of Student Affairs and the SFA Chief of Police.

Article VI: Appeals

Charged Students or Student Organizations who are found responsible by a Student Conduct Hearing Board have the right to appeal based on certain criteria. Appeals must meet one or more of the following grounds:

1. The information contained within the case does not support the finding of responsible.
2. The assigned sanctions are not appropriate for the violation(s).

3. The Student or Student Organization's rights, as outlined by this policy, were violated.

The Charged Student or Student Organization must submit an appeal to the Vice President of Student Affairs within five (5) business days of the outcome letter being sent from the Dean of Students. This appeal must describe why they feel their case meets one of the appeal criteria listed.

The Vice President of Student Affairs or Designee may uphold the decision and/or sanctions, modify the decision and/or sanctions, or remand the case for a new hearing. Unless the appeal decision is to remand the case, the appeal decision is considered the final decision of the University. The Charged Student or Student Organization will receive the outcome of the appeal through email.

Article VII: Interim Measures

The Dean of Students may assign Interim Measures to a Student or Student Organization if it is determined that the continued presence or actions of a Student or Student Organization poses a substantial threat of harm or bodily injury, damage to property, or threat to the stability and continuance of normal University functions. The Interim Measure will take effect immediately without prior notice to the Student or Student Organization. Interim Measures may include, but are not limited to, interim suspension, restrictions, removal from on-campus housing, or no contact directives. Interim Measures may be lifted by the Dean of Students when deemed appropriate.

In cases of interim suspension, restrictions, or removal from on-campus housing, unless waived in writing by the Student or Student Organization, the Student or Student Organization will have a post-removal hearing with the Dean of Students or designee regarding the Interim Measure. The scope of this hearing is limited solely to the determination of whether that Student or Student Organization's presence or continuation of activities adversely affects the health, safety or welfare of the University community. The Student or Student Organization will be provided with an explanation of the evidence on which the University based its decision concerning the Interim Measure and an opportunity to respond.

Article VIII: Records

All hearings, and records pertaining to hearings, will be considered education records and treated as designated by law. Student or Student Organization conduct records are kept for seven years after the final outcome of the Student Conduct Process. Records for cases where a Student or Student Organization has been expelled or suspended are held permanently.

Disciplinary actions which result in suspension or expulsion from the University and prevent enrollment will be noted on the academic transcript. Information will include the specific sanction (suspension or expulsion) along with the effective dates of the sanction.

There will be no disclosure of file contents outside of the University without the written permission of the Student, unless required or allowed by law. Disclosure within the University is limited to those employees having legitimate need of the information to conduct University business. A Student or Student Organization may make a written request for a personal copy of their incident report and receive a redacted copy. Disclosure to victims of violent crimes, nonforcible sex offenses or other offenses with reporting requirements will be handled according to law. All hearings are closed to the

public.

Article IX: Non-discrimination, Interpretation, and Revision

Decisions rendered according to this policy will be made based on observations of a Student's conduct, actions and statements and not on the basis of a student's race, color, religion, national origin, sex, age, disability, genetic information, citizenship, veteran status, sexual orientation, gender identity, or gender expression.

Any Student with a disability may request reasonable accommodations during the disciplinary process. If accommodations are desired, this request must be made to SFA Disability Services at least three business days in advance of the hearing. If necessary the Hearing Board Chair, or the Dean of Students or designee, may postpone the hearing to provide reasonable accommodations.

Any question of interpretation or application of the Student Code of Conduct shall be referred to the Vice President of Student Affairs or designee for final determination.

The Student Code of Conduct shall be reviewed annually under the direction of the Vice President of Student Affairs or designee.

Cross Reference: Tex. Educ. Code §§ 51.9315, .936, .9364; Fraud (2.7); Nondiscrimination (2.11); Title IX (2.13); Student Academic Dishonesty (4.1); Reproduction of Copyrighted Works by Educators and Librarians (9.2); Digital Millennium Copyright (9.3); Hazing (10.3); Student Organization Formation and Recognition (10.9); Student Involuntary Withdrawal (10.13); Annual Disclosure of Crime Statistics (13.3); Illicit Drugs and Alcohol Abuse (13.11); Firearms Explosives and Ammunition (13.9); Acceptable Use of Information Technology Resources (14.2); Residence Life Community Guidelines

Responsible for Implementation: Vice President of Student Affairs

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

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Texas Comprehensive Research Fund

Policy Number: 8.10

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: ORGS Dean

Purpose of Policy (what does it do): States what the Comprehensive Research Program at SFA can be used for.

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: 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

Texas Comprehensive Research Fund

Original Implementation: January 19, 2006
Last Revision: July ~~23, 2019~~*26, 2022*

The Texas Comprehensive Research Fund can only be used for activities at eligible general academic teaching institutions "that promote increased research capacity" at the institution (Texas Education Code §62.097).

The Comprehensive Research Program (CRP) at Stephen F. Austin State University uses these funds to directly support the university's research agenda and to increase competitiveness in acquiring external funds for research and development.

Therefore, use of CRP funds will be limited to research and development activities as defined by the Texas Higher Education Coordinating Board (Texas Administrative Code, Part 1, Chapter 13, Subchapter G, Rule §13.122):

- Research means "a systematic study directed toward fuller scientific knowledge or understanding of the subject studied."
- Development means "the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes."
- Curriculum development activities are also eligible for funding when "the primary purpose of the project is developing and testing an instructional or educational model through appropriate research methodologies (i.e., data collection, evaluation, dissemination, and publication)."

~~Comprehensive Research Program~~*CRP* funds cannot be used to supplant funds for research activities or to purchase or maintain equipment supported by other sources.

In the expenditure of ~~Comprehensive Research Program~~*CRP* funds, recipients are subject to all university policies and procedures, and local, state, and federal regulations.

Before initiating research that involves human subjects, vertebrate animals, or hazardous materials, researchers must obtain written approval from the chair of the appropriate university board or committee.

Recipients of ~~Comprehensive Research Program~~*CRP* funds must meet deadlines for deliverables, including annual reports, as required by the Office of Research and Graduate Studies (ORGS).

Publications resulting from the CRP will acknowledge the source of funds as the Stephen F. Austin State University Comprehensive Research Program. Copies of publications will be

submitted to ORGS and the Center for Digital Scholarship in the Steen Library.

Deans submit requests for ~~Comprehensive Research Program~~*CRP* funds on behalf of their faculty and research staff to the director of ORGS who makes awards based on criteria established by the director and the provost and *executive* vice president for academic affairs. For awards of $50,000 or greater, the director makes recommendations for funding to the provost and *executive* vice president for academic affairs.

Cross Reference: Human Research Subjects Protection (8.4); Institutional Animal Care and Use Committee (IACUC) (8.6); Recombinant DNA and/or Infectious Biohazards in Teaching and Research (8.9); Tex. Educ. Code §§ 62.091-.098; 19 Tex. Admin. Code §§ 13.120-.127

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

Contact for Revision: Dean, 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: Title IX

Policy Number: 2.13

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: President

Purpose of Policy (what does it do): Establish process and procedure for implementation of Title IX of the Education Amendments of 1972.

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: To ensure compliance with current regulation and laws as well as the CLERY Act and Violence Against Women Act.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Lissy Turner, Title IX Coordinator
Michara DeLaney-Fields, Chief Diversity Officer
Steve Westbrook, Interim President
Damon Derrick, General Counsel

Title IX

Original Implementation: July 27, 2015
Last Revision: July ~~27, 2021~~*26, 2022*

III. Policy Statement

~~A. *Statement of Nondiscrimination*~~

Stephen F. Austin State University (the "University") is committed to providing an educational and employment environment free of unlawful sex discrimination. Consistent with Stephen F. Austin State University's Non-Discrimination Notice and the U.S. Department of Education's implementing regulations for Title IX of the Education Amendments of 1972 ("Title IX"), the University prohibits Sexual Harassment that occurs within its Education Programs and Activities.

As further defined below, for purposes of this Policy, Sexual Harassment includes Quid Pro Quo Sexual Harassment, Hostile Environment Sexual Harassment, Sexual Assault, Domestic Violence, Dating Violence, and Stalking.

Administrators, faculty members, staff, students, contractors, guests, and other members of the University community who commit Sexual Harassment are subject to the full range of ~~University~~*university* discipline.

IV. Scope

This Policy applies to Sexual Harassment, as defined below, that occurs within the University's Education Programs and Activities and that is committed by an administrator, faculty member, staff, student, contractor, guest, or other member of the University Community *within the United States*.

Non-Discrimination in Application: The requirements and protections of this policy apply equally regardless of sex, sexual orientation, gender identity, gender expression, or other protected classes covered by federal or state law. All requirements and protections are equitably provided to individuals regardless of such status or status as a Complainant, Respondent, or Witness. Individuals who wish to file a complaint about the institution's policy or process may contact the Department of Education's Office for Civil Rights using contact information available at https://ocrcas.ed.gov/contact-ocr. Pg. 1.

Disability Accommodations: This Policy does not alter any institutional obligations under federal disability laws including the Americans with Disabilities Act of 1990, and Section 504 of the Rehabilitation Act of 1973. Parties may request reasonable accommodations for disclosed disabilities to the Title IX Coordinator at any point before or during the Title IX process that do not fundamentally alter the process. The Title IX Coordinator will not affirmatively provide disability accommodations that have not been specifically requested by the Parties, even where the Parties may be receiving accommodations in other institutional programs and activities.

V. Definitions

I. **"Sexual Harassment"** for purposes of this Policy is conduct on the basis of sex that constitutes Quid Pro Quo Sexual Harassment, Hostile Environment Sexual Harassment, Sexual Assault, Domestic Violence, Dating Violence, or Stalking.

J. **"Quid Pro Quo Sexual Harassment"** occurs when an employee ~~or student~~ of the University conditions the provision of aid, benefit, or service of the University on an individual's participation in unwelcome sexual ~~contact~~*conduct*.

K. **"Hostile Environment Sexual Harassment"** is unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person access to the University's education programs and activities.

L. **"Sexual Assault"** includes the sex offenses of Rape, Sodomy, Sexual Assault with an Object, Fondling, Incest, and Statutory Rape.[1]

1. **"Rape"** is the carnal knowledge of a person, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental or physical incapacity. ~~There is "carnal knowledge" if there is penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim. Attempted Rape is included.~~

2. **"Sodomy"** is oral or anal sexual intercourse with another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental or physical incapacity.

~~3.~~ **"Sexual Assault with an Object"** is using an object or instrument to unlawfully penetrate, however slightly, the genital or anal opening of the body of another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental or physical incapacity. ~~An "object" or "instrument" is anything used by the offender other than the offender's genitalia.~~

3.

4. **"Fondling"** is the touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her

[1] The University's definition of "Sexual Assault" is mandated by federal regulations implementing Title IX of the Education Amendments of 1972. Those regulations require the University to adopt a definition of "Sexual Assault" that incorporates various forcible and non-forcible sex crimes as defined by the FBI's Uniform Crime Reporting System. See 34 C.F.R. § 106.30(a)*(3)*. When applicable, we have included the state law definition. In any criminal action brought by law enforcement, the state law definition will apply.

age or because of his/her temporary or permanent mental or physical incapacity.

5. **"Incest"** is sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by Texas law.

6. **"Statutory Rape"** is sexual intercourse with a person who is under the statutory age of consent as defined by Texas law.

M. **"Domestic (Family) Violence"** is felony or misdemeanor crimes ~~of violence~~ committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or *who* has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of Texas[2], or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of Texas. *This includes the use or attempted use of physical abuse or sexual abuse, or a pattern of any other coercive behavior committed, enabled, or solicited to gain or maintain power and control over a victim, including verbal, psychological, economic, or technological abuse that may or may not constitute criminal behavior, by a person who is:*

- *a current or former spouse or intimate partner of the victim, or person similarly situated to a spouse of the victim;*
- *is cohabitating, or has cohabitated, with the victim as a spouse or intimate partner;*
- *with whom the victim shares a child in common; or*
- *commits acts against youth or adult victim who is protected from those acts under the family and domestic violence laws of Texas.*

It should be understood that domestic violence/dating violence applies to any pattern of coercive behavior that is used by one person to gain power and control over a current or former intimate partner or dating partner. This pattern of behavior may

[2] Family Violence is defined by the Texas Family Code Section 71.004 as:
(1) an act by a member of a family or household against another member of the family or household that is intended to result in physical harm, bodily injury, assault, or ~~Sexual Assault~~*sexual assault* or that is a threat that reasonably places the member in fear of imminent physical harm, bodily injury, assault, or ~~Sexual Assault~~*sexual assault*, but does not include defensive measures to protect oneself;
(2) abuse, as that term is defined by Sections 261.001(1)(C), (E), and (G), by a member of a family or household toward a child of the family or household; or
(3) Dating violence, as that term is defined by Section 71.0021.

include physical or sexual violence, emotional and psychological intimidation, threats, verbal abuse, stalking, isolation, and economic control.

N. **"Dating Violence"** [3] is violence committed by a person:

1. Who is or has been in a social relationship of a romantic or intimate nature with the victim; and

2. Where the existence of such a relationship will be determined based on a consideration of the following factors:

   - The length of the relationship;
   - The type of relationship; and
   - The frequency of interaction between the persons involved in the relationship.

O. **"Stalking"** is engaging in a course of conduct directed at a specific person that would cause a reasonable person to:

- Fear for their safety or the safety of others; or
- Suffer substantial emotional distress.

For the purposes of this definition—

1. *Course of Conduct* means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, or communicates to or about a person, threats~~,~~ that a reasonable person would regard as threatening bodily injury or death of that person, their family members including someone with whom the person is dating or interferes with that person's property.

[3] Dating violence is defined by the Family Code, Section 71.0021 as:
(a) an act, other than a defensive measure to protect oneself, by an actor that:
(1) is committed against a victim:
(A) with whom the actor has or has had a dating relationship; or
(B) because of the victim's marriage to or dating relationship with an individual with whom the actor is or has been in a dating relationship or marriage; and
(2) is intended to result in physical harm, bodily injury, assault, or Sexual Assault or that is a threat that reasonably places the victim in fear of imminent physical harm, bodily injury, assault, or Sexual Assault.
(b) For purposes of this title, "dating relationship" means a relationship between individuals who have or have had a continuing relationship of a romantic or intimate nature. The existence of such a relationship shall be determined based on consideration of:
(1) the length of the relationship;
(2) the nature of the relationship; and
(3) the frequency and type of interaction between the persons involved in the relationship.
(c) A casual acquaintanceship or ordinary fraternization in a business or social context does not constitute a "dating relationship" under Subsection (b).

2. *Reasonable Person* means a person under similar circumstances and with similar identities to the person subjected to the stalking behavior would fear for their safety or the safety of others, or suffer substantial emotional distress.

3. *Substantial Emotional Distress:* Significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling.

H. ***"Economic Abuse"*** *in the context of domestic violence and dating violence means behavior that is coercive, deceptive, or unreasonably controls or restrains a person's ability to acquire, use, or maintain economic resources to which they are entitled, including using coercion, fraud, or manipulation to:*

i. Restrict a person's access to money, assets, credit, or financial information;
ii. Unfairly use a person's personal economic resources, including money, assets, and credit, for one's own advantage; or
iii. Exert undue influence over a person's financial and economic behavior or decisions, including forcing default on joint or other financial obligations, exploiting powers of attorney, guardianship, or conservatorship, or failing or neglecting to act in the best interests of a person to whom one has a fiduciary duty.

I. ***"Technological Abuse"*** *means an act or pattern of behavior that occurs within domestic violence, sexual assault, dating violence or stalking and is intended to harm, threaten, intimidate, control, stalk, harass, impersonate, exploit, extort, or monitor, except as otherwise permitted by law, another person, that occurs using any form of technology, including but not limited to:*

i. Internet enabled devices, online spaces and platforms, computers, mobile devices, cameras and imaging programs, apps, location tracking devices, or communication technologies, or any other emerging technologies.

J. ***"Reasonable Person"*** *a hypothetical person that is used as a comparative standard regarding the action(s) or situation of another individual and whether or not the approach taken or not taken was appropriate given the circumstances. This comparative standard is used in addition to the definition of "stalking".*

K. ***"Relevant"*** *- evidence pertinent to proving whether facts material to the allegations under investigation are more or less likely to be true. "Relevant" evidence and questions refer to any questions and evidence that tends to make an allegation of sexual harassment more or less likely to be true. "Relevant" evidence and questions do not include the following types of evidence and questions, which are deemed "irrelevant" at all stages of the Title IX Process:*

a. Evidence and questions about the complainant's sexual predisposition or prior sexual behavior unless:
i. They are offered to prove that someone other than the respondent committed the conduct alleged by the complainant, or
ii. They concern specific incidents of the complainant's prior sexual behavior

with respect to the respondent and are offered to prove consent. 34 C.F.R. § 106.45(6)(i).

b. Evidence and questions that constitute, or seek disclosure of, information protected under a legally-recognized privilege.

c. Any party's medical, psychological, and similar records unless the party has given voluntary, written consent. 85 Fed. Reg. 30026, 30294 (May 19, 2020)

L. ***"Mandatory Reporter"****-All University Employees, with the exception of Confidential Employees, operating in the scope of their employment who witness or receive information regarding an incident that the employee reasonably believes constitutes Sexual Harassment, Sexual Assault, Dating Violence, and/or Stalking and has been alleged to have been committed by or against a person who was a student enrolled at or an employee of the University at the time of the incident.*

~~H.~~*M.* **"Consent"** is a *clear* voluntary, ongoing, mutual understanding among all participants that clearly indicates a willingness, through words or ~~clear unambiguous~~*physical* actions, and demonstrates a knowing, intentional agreement to engage in each *specific* instance and stage of sexual *contact or* activity. Knowledge of consent is the responsibility of each person involved in every instance of sexual *contact and/ or* activity and consent can be withdrawn at any time. A person who is *Coerced and/or* Incapacitated is not capable of giving Consent. *Consent cannot be inferred from silence, absence of resistance, or lack of protest.*

The following list provides examples of when Consent has not been obtained or is not effective:

- Consent is not effective when any participant in the sexual activity is unsure if a knowing, intentional, voluntary agreement to engage in each act of sexual activity has been demonstrated.

- Consent is not effective if one person knew or reasonably should have known that another person involved was incapacitated.

- Consent to one act does not imply consent to another; past consent does not imply future consent.

- Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another.

- Any expression of an unwillingness to engage in any instance of sexual activity establishes a presumptive lack of consent.

- Consent is not effective if it results from: (a) the use of physical force, (b) a threat of physical force, (c) Intimidation,[4] (d) Coercion, (e) Incapacitation or (f) any

[4] *Intimidation* means intentional behavior that would cause a reasonable person to fear injury or harm.

other factor that would eliminate an individual's ability to exercise their own free will to choose whether or not to have sexual activity.

- A current or previous dating or sexual relationship ~~or manner of dress~~ does not, by itself, constitute consent. Even in the context of a relationship, there must be a voluntary, mutually understandable agreement that clearly demonstrates a willingness to engage in each instance of sexual activity.

- *An individual's manner of dress does not, by itself, constitute Consent to engage in sexual conduct and/or activity.*

~~P.~~*N.* **"Incapacitated"** refers to a state of being that prevents an individual from having the mental ability, emotional stability, or maturity to provide consent at the time the alleged behavior occurs. Incapacitation could result from the use of drugs or alcohol, a person being asleep or unconscious, or because of an intellectual or other disability or medical condition.

Alcohol and drugs can impair judgment and decision-making capacity, including the ability to rationally consider the consequences of one's actions. The effects of alcohol and drug consumption often occur along a continuum. For example, inhibition to euphoria and memory impairment, and to disorientation and incapacitation. Incapacitation due to alcohol or drug use is a state beyond "mere" intoxication or even being drunk. Indicators of incapacitation may include inability to communicate, lack of control over physical movements, and/or lack of awareness of circumstances. An incapacitated person can also experience a blackout state during which they appear to give consent but do not have conscious awareness or the capacity to consent.

~~Q.~~*O.* **"Coercion"** is the use of pressure and/or other oppressive behavior, including expressed or implied threats of physical harm, or severe and/or pervasive emotional intimidation which places an individual in fear of immediate or future harm or physical injury or causes a person to engage in unwelcome sexual activity. A person's words or conduct amounts to coercion if they wrongfully limit the other's ability to freely choose whether or not to engage in sexual activity. Coercion also includes administering a drug, intoxicant, or other substance that impairs the person's ability to give consent.

~~R.~~*P.* **"Retaliation"** is intimidation, threats, coercion, or discrimination against any individual for the purpose of interfering with any right or privilege secured by Title IX and its implementing regulations or because an individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing under this policy. Retaliation is prohibited and is considered a stand-alone policy violation without regard to any finding of responsibility for violation of this policy.

~~S.~~*Q.* **"Complainant"** means the individual(s) who is alleged to have been impacted by a violation of this Policy.[5]

~~T.~~*R.* **"Respondent"** means the individual(s) who is ~~alleged~~ to have violated this Policy.

~~U.~~*S.* **"Formal Complaint"** means a document filed by a Complainant or signed by the Title IX Coordinator alleging Sexual Harassment against a Respondent and requesting that the University investigate the allegation of Sexual Harassment in accordance with this Policy. At the time of filing a Formal Complaint, a Complainant must be participating in or attempting to participate in the University's education programs and activities. A "document filed by a Complainant" means a document or electronic submission (such as the reporting form) that contains the Complainant's physical or electronic signature or otherwise indicates that the Complainant is the person filing the Complaint.

~~V.~~*T.* **"Supportive Measures"** are non-disciplinary, non-punitive individualized services offered, as appropriate, and reasonably available, and without fee or charge, that are designed to restore or preserve equal access to the University's Education Programs and Activities without unreasonably burdening another Party, including measures designed to protect the safety of all parties implicated by a report or the University's education environment, or to deter Sexual Harassment. Supportive measures may include: counseling, extensions of academic or other deadlines, course-related adjustments, modifications to work or class schedules, campus escort services, changes in work or housing locations, leaves of absence, increased security and monitoring of certain areas of campus, and other similar measures. Supportive Measures may also include mutual restrictions on contact between the parties implicated by a report.

~~W.~~*U.* **"Education Programs and Activities"** refers to all the operations of the University, including, but not limited to, in-person and online educational instruction, employment, research activities, extracurricular activities, athletics, residence life, dining services, performances, and community engagement and outreach programs. Additionally, the term applies to all activity that occurs on campus or on other property owned or occupied by the University. It also includes off-campus locations, events, or circumstances over which the University exercises substantial control over the Respondent and the context in which the Sexual Harassment occurs, including Sexual Harassment occurring in any building owned or controlled by a student organization that is officially recognized by the University. It also includes off-campus conduct when the conduct could deny or limit a person's ability to participate in or benefit from the University's programs and activities or when the University, in its sole discretion, has an identifiable interest in the off-campus conduct.

VI. Understanding Hostile Environment Sexual Harassment

[5] A Complainant and Respondent are each individually a "Party" and collectively the "Parties" with respect to a Formal Complaint filed under this Policy.

In determining whether a Hostile Environment exists, the University will consider the totality of circumstances, including factors such as the actual impact the conduct has had on the Complainant; the nature and severity of the conduct at issue; the frequency and duration of the conduct; the relationship between the parties (including accounting for whether one individual has power or authority over the other); the respective ages of the parties; the context in which the conduct occurred; and the number of persons affected. The University will evaluate the totality of circumstances from the perspective of a reasonable person in the Complainant's position. A person's adverse subjective reaction to conduct is not sufficient, in and of itself, to establish the existence of a hostile environment.

The University encourages members of the University Community to report any and all instances of Sexual Harassment, even if they are unsure whether the conduct rises to the level of a policy violation.

Sexual Harassment also includes gender-based harassment, which may include acts of verbal, nonverbal, or physical aggression, intimidation, or hostility based on gender or gender stereotyping, *sexual orientation, and gender identity* even if those acts do not involve conduct of a sexual nature.

Some specific examples of conduct that may constitute Sexual Harassment if unwelcome include, but are not limited to:

- Unreasonable pressure for a dating, romantic, or intimate relationship or sexual contact;
- Unwelcome kissing, hugging, or massaging;
- Sexual innuendos, jokes, or humor;
- Displaying sexual graffiti, pictures, videos, or posters;
- Using sexually explicit profanity;
- Asking about, or telling about, sexual fantasies, sexual preferences, or sexual activities;
- E-mail and Internet use that violates this policy;
- Leering or staring at someone in a sexual way, such as staring at a person's breasts or groin;
- Sending sexually explicit emails, text messages, or social media posts;
- Commenting on a person's dress in a sexual manner;
- Giving unwelcome personal gifts such as lingerie that suggest the desire for a romantic relationship; or
- Insulting, demeaning, or degrading another person based on gender or gender stereotypes.

VII. Reporting Sexual Harassment

A. *Title IX Coordinator*

Any person may report Sexual Harassment to the Title IX Coordinator. Reports may be made in person, by regular mail, telephone, electronic mail, or by any other means that results in the Title IX Coordinator receiving the person's verbal or written report. In-person reports must be made during normal business hours, but reports can be made by regular mail, telephone, or electronic mail at any time, including outside normal business hours~~, to the following individuals:~~.

Reporting options and online reporting forms can be found at the following website: www.sfasu.edu/lumberjacks-care. In addition, a link to reporting information will be maintained on the university home page.

Contact information for the Title IX Coordinator and Deputy Title IX coordinators is outlined below. This information is subject to change and the most updated contact information for the Title IX coordinator and deputy coordinators can be found at www.sfasu.edu/lumberjacks-care.

Title IX Coordinator	McKibben Education Building, Suite 304 titleix@sfasu.edu | (936) 468-8292
Deputy Title IX Coordinator for Faculty, Staff, and Third Parties:~~,~~ Director of Human Resources	Austin Building, Suite 201 titleixemployees@sfasu.edu | (936) 468-2304
Deputy Title IX Coordinator for Athletics*:* Senior Woman Administrator, SFA Intercollegiate Athletics	SFA Athletic Fieldhouse titleixathletics@sfasu.edu | (936) 468-3751
Deputy Title IX Coordinator for the SFA Charter School~~,~~*:* CEO/Principal SFA Charter School	2428 Raguet Street titleixcharter@sfasu.edu | (936) 468-5899

B. *Mandatory Reporting Requirement for University Employees*

Under Texas law, all University employees, with the exception of Confidential Employees, who:

1. in the course and scope of their employment[6]

2. witnesses or receives information regarding an incident that the employee reasonably believes constitutes Sexual Harassment,[7] Sexual Assault, Dating Violence, or Stalking, which

3. is alleged to have been committed by or against a person who was a student enrolled at or an employee of the University at the time of the incident

must promptly report within 48 hours the incident to the University's Title IX Coordinator or a Deputy Title IX Coordinator.

Writing required. The University's online reporting form is the preferred method of communicating incidents promptly, so that a record is made of the time and all factual details disclosed in the initial report. A written memo is also acceptable if it can be delivered to a Coordinator promptly after the employee's duty to report arises.

[6] "Course and Scope of Employment" means an employee performing duties in the furtherance of the institution's interests.

[7] For the purposes of Texas's mandatory reporting requirement only, "Sexual Harassment" means: means unwelcome, sex-based verbal or physical conduct that (a) in the employment context, unreasonably interferes with a person's work performance or creates an intimidating, hostile, or offensive work environment; or (b) in the education context, is sufficiently severe, persistent, or pervasive that the conduct interferes with a student's ability to participate in or benefit from the University's educational programs or activities.

Report Contents. The employee's report must include all information concerning the incident known to the employee which is relevant to an investigation under this Policy, including whether the subject of the report has expressed a desire for an institutional response to the incident or made a request for confidentiality in reporting the incident.

***Privacy vs.* Confidentiality.** ~~Unless~~
References made to confidentiality refer to the ability of identified confidential resources to not report full details of crimes and violations, in accordance with mandatory reporting laws, to law enforcement or university officials without permission, unless waived in writing by the affected individual, ~~the identity of an alleged victim of an incident reported pursuant to this mandatory reporting requirement may be disclosed only to (~~*or for extreme circumstances, such as* a~~)~~ *health and/or safety emergency or child abuse. References made to privacy mean University officials and* employees ~~of~~*who cannot guarantee confidentiality but will maintain privacy to* the ~~University who are~~*greatest extent possible, and information disclosed will be relayed only as* necessary to ~~conduct an investigation of~~*investigate and/or seek a resolution and to notify* the ~~report or any related hearings and (b) a law enforcement officer~~*Title IX Coordinator or designee. The University will limit the disclosure as much as practicable even if the Title IX Coordinator or designee determines that the request for confidentiality cannot be honored.*

Exceptions. The mandatory reporting requirement does not apply to:

1. Individuals who are themselves the victims of the Sexual Harassment, Sexual Assault, Dating Violence, or Stalking incident that is being reported;

2. Instances when an employee receives information about Sexual Harassment, Sexual Assault, Dating Violence, or Stalking at a public awareness event sponsored by the University; or

3. Employees designated as Confidential Employees.

4. A campus peace officer employed by the university who receives information regarding an incident involving sexual assault, domestic violence, dating violence, or stalking from an alleged victim who chooses to complete a pseudonym form described in Texas Code of Criminal Procedure. University Police Officers must report limited information to the Title IX Coordinator, including the type of incident, general location and date of alleged incident. The report may not include the victim 's name, phone number, address, or other information that may directly or indirectly reveal the victim 's identity.

Consequences of Non-Compliance. An employee who fails to make a required report will be terminated following an investigation and any required process under the applicable personnel policy.[8]

Immunity. An employee who, in good faith reports or assists in the investigation of a report under this Policy, or who testifies or otherwise participates in a disciplinary process or judicial proceeding

[8] Employees who fail to make a mandatory report under this provision may also be subject to criminal prosecution pursuant to Texas Education Code section 51.255(a).

arising from a report of such an incident, will not be subject to disciplinary action for violations of the administrative policies of Stephen F. Austin State University that are reasonably related to the incident. This immunity does not apply to a person who perpetrates or assists in the perpetration of the incident reported under this policy or who commits a criminal offense pursuant to Texas Education Code § 51.255(a).

C. *Confidential Employees*

The University believes it is critical to provide community members who may be experiencing Sexual Harassment information about available institutional resources to empower those individuals to make informed decisions about their rights and options. Members of the University community may speak to officially designated Confidential Employees[9] about Sexual Harassment, Sexual Assault, Dating Violence, or Stalking without the conversation triggering a mandatory report of incident details.

The University has designated the following Confidential Resources:

SFA Counseling Services
(936) 468-2401 | counseling@sfasu.edu

SFA Human Services Counseling Clinic
(936) 468-1041 | SFACounselingClinic@sfasu.edu

SFA Student Health Clinic
(936) 468-4008 | healthservices@sfasu.edu

Family Crisis Center of East Texas
(936) 468-7233 Campus Office
(800) 828-7233 (24-hour crisis line)

~~SFA University Police~~
~~(936) 468-2608 | updemail@sfasu.edu~~

A Confidential Employee is not required to report any information that would violate an individual's expectation of privacy, such as the name or other identifying information of an individual who has experienced or allegedly engaged in Sexual Harassment.

This provision does not affect any employee's duty to report incidents of sexual misconduct as required by other law.

D. *Reports to Law Enforcement*

[9] Under Texas law, a "Confidential Employee" is an employee (1) designated by the University as a person with whom students may speak confidentially concerning Sexual Harassment, Sexual Assault, Dating Violence, or Stalking or (2) receives information regarding such an incident under circumstances that render the employee's communications confidential or privileged under other law.

Victims of a crime have the right to choose whether to report the crime to law enforcement, to be assisted by the University in reporting the crime to law enforcement, or to decline to report the crime to law enforcement. The University encourages anyone who believes they experienced or witnessed a crime to make a report to the Stephen F. Austin State University Police Department ("UPD"), if the assault occurred on campus, or to local law enforcement, for crimes occurring off campus.

Reports of criminal offenses occurring on campus, including but not limited to sexual assault, dating violence, domestic violence, and stalking may also be made to UPD at 936-468-2608 (non-emergency) or 911 (emergency) or to the City of Nacogdoches Police Department 936-559-2607 (non-emergency) or 911 (emergency) or to other local law enforcement authorities. Regardless of where the incident occurred, UPD can assist in making a report to the appropriate law enforcement agency. Individuals are not required to report all criminal violations to law enforcement, but the University strongly encourages reporting criminal violations to the police. The Title IX Coordinator and deputy Title IX coordinators can assist individuals in contacting these law enforcement agencies as well as the confidential resources outlined in Section 6.1 C of this policy. Employees and students with protective or restraining orders relevant to a report are encouraged to provide a copy to the University Police Department.

If a report of a policy violation is made to UPD, officers will advise the complainant or reporting party of their right to file a report under this policy. To the extent allowed by law and university policy, UPD shall also notify the Title IX Coordinator of the report, and provide the Title IX Coordinator, or the individual investigating the reported policy violation, access to any related university law enforcement records, so long as doing so does not compromise any criminal investigation.

E. *Medical Treatment and Preservation of Evidence*

In cases of sexual assault, and for one's safety and well-being, immediate medical attention is encouraged to evaluate for physical injury, sexually transmitted diseases, and pregnancy. Being examined as soon as possible, ideally within 120 hours, is important for evidence collection, which may be used to support prosecution should the Complainant decide to pursue criminal charges.

F. *Anonymous Reports*

Anyone, not designated as a ~~responsible employee~~*Mandatory Reporter*, can make an anonymous report by submitting information through the Online Reporting Form found at http://www.sfasu.edu/lumberjacks-care.

VIII. Preliminary Assessment

Upon receipt of a report, the Title IX Coordinator will conduct a preliminary assessment to determine whether the conduct, as reported, constitutes or could constitute Sexual Harassment.

If the Title IX Coordinator determines that the conduct reported could not fall within the scope of this Policy, and/or could not constitute Sexual Harassment, even if investigated, the Title IX Coordinator will close the matter and may notify the reporting party if doing so is consistent with the

Family Educational Rights and Privacy Act ("FERPA"). The Title IX Coordinator may refer the report to other University offices, as appropriate.

If the Title IX Coordinator determines that the conduct reported could fall within the scope of this Policy, and/or could constitute Sexual Harassment, if investigated, the Title IX Coordinator will proceed to contact the Complainant.

As part of the preliminary assessment, the Title IX Coordinator may take investigative steps to determine the identity of the Complainant, if such identity is not apparent from the report.

IX. Contacting the Complainant

If a report is not closed as a result of the preliminary assessment and the Complainant's identity is known, the Title IX Coordinator or their designee will promptly contact the Complainant to discuss the following:

- the availability of Supportive Measures with or without filing a Formal Complaint;
- the Complainant's wishes with respect to such Supportive Measures;
- the process for filing and pursuing a Formal Complaint;
- the importance of going to a hospital for treatment and preservation of evidence as soon as practicable after the incident, if applicable;
- the right to report the incident to the institution and to receive a prompt and equitable resolution of the report;
- the right of a victim of a crime to choose whether to report the crime to law enforcement, to be assisted by the institution in reporting the crime to law enforcement, or to decline to report the crime to law enforcement; and
- information about resources that are available on campus and in the community.

X. Supportive Measures

Generally. Any individual affected by or accused of Sexual Harassment will have equal access to support and counseling services offered through the University. The University encourages any individual who has questions or concerns to seek support of University-identified resources. The Title IX Coordinator or their designee is available to provide information about the University's policy and procedure and to provide assistance. A list of University identified resources is located at the following link: http://www.sfasu.edu/lumberjacks-care

Complainant. The Title IX Coordinator or their designee will offer and make available Supportive Measures to the Complainant upon receipt of a report of Sexual Harassment regardless of whether the Complainant elects to file a Formal Complaint.

Respondent. The Title IX Coordinator or their designee will notify the Respondent of the availability of Supportive Measures contemporaneously with the Respondent being notified of a Formal Complaint. Once a Formal Complaint has been initiated, the University will offer and make available Supportive Measures to the Respondent in the same manner in which it offers and makes them available to the Complainant. The University will also offer and make available Supportive Measures

to the Respondent prior to the Respondent being notified of a Formal Complaint, if the Respondent requests such measures.

All Parties. The University will, to the greatest extent practicable, ensure that each Party or other person who reports an incident of Sexual Harassment is offered counseling provided by a counselor who does not provide counseling to any other person involved in the incident. In addition, all Parties are allowed to drop a course in which both Parties are enrolled without any academic penalty.

Confidentiality. The University will maintain the confidentiality of Supportive Measures provided to either a Complainant or Respondent, to the extent that maintaining such confidentiality does not impair the University's ability to provide the Supportive Measures in question.

XI. ~~Interim~~*Emergency* Removal

At any time after receiving a report of Sexual Harassment, the Title IX Coordinator may remove a student Respondent from the University's education programs and activities on ~~an~~*a* temporary basis if an individualized safety and risk analysis determines that an immediate threat to the physical health or safety of any student or other individual arising from the allegations of Sexual Harassment justifies removal. In the event the Title IX Coordinator imposes an ~~interim~~*emergency* removal, the Title IX Coordinator must offer to meet with the Respondent within ~~twenty-four~~*24* hours and provide the Respondent an opportunity to challenge the interim removal.

In the case of a Respondent who is a non-student employee (administrator, faculty, or staff), and in its discretion, the University may place the Respondent on administrative leave at any time after receiving a report of Sexual Harassment, including during the pendency of the investigation and adjudication process.

For all other Respondents, including independent contractors and guests, the University retains broad discretion to prohibit such persons from entering onto its campus and other properties at any time, and for any reason, whether after receiving a report of Sexual Harassment or otherwise.

XII. Formal Complaint

A. *Filing a Formal Complaint*

A Complainant may file a Formal Complaint with the Title IX Coordinator requesting that the University investigate and adjudicate a report of Sexual Harassment in accordance with this Policy. Provided, however, that at the time the Complainant submits a Formal Complaint, the Complainant must be participating in, or attempting to participate in, one or more of the University's Education Programs or Activities.

A Complainant may file a Formal Complaint with the Title IX Coordinator in person, by regular mail, or by email using the contact information specified above. No person may submit a Formal Complaint on the Complainant's behalf.

In any case, including a case where a Complainant elects not to file a Formal Complaint, the Title IX Coordinator may file a Formal Complaint on behalf of the University if doing so is not clearly unreasonable. Such action will normally be taken in limited circumstances involving serious or

repeated conduct or where the alleged perpetrator may pose a continuing threat to the University Community. Factors the Title IX Coordinator may consider include (but are not limited to):

1. the seriousness of the alleged incident, including (a) whether a weapon was involved in the incident, (b) whether multiple assailants were involved in the incident, and (c) whether the incident is poses a risk of recurrence;

2. whether the institution has received other reports of Sexual Harassment committed by the Respondent;

3. whether the alleged incident poses a risk of harm to others; and

4. any other factors the University determines relevant.

If the Complainant or the Title IX Coordinator files a Formal Complaint, then the University will commence an investigation and proceed to adjudicate the matter. If the University elects to proceed as a Complainant, the University will inform the alleged victim of the incident of that decision. In all cases where a Formal Complaint is filed, the Complainant will be treated as a Party, irrespective of the Party's level of participation.

B. *Consolidation of Formal Complaints*

The University may consolidate Formal Complaints as to allegations of Sexual Harassment against more than one Respondent, or by more than one Complainant against one or more Respondents, or by one Party against the other Party, where the allegations of Sexual Harassment arise out of the same facts or circumstances. Where the investigation and adjudication process involve more than one Complainant or more than one Respondent, references in this policy to the singular "Party," "Complainant," or "Respondent" include the plural, as applicable.

C. *Dismissal Prior to Commencement of Investigation*

In a case where the Complainant files a Formal Complaint, the Title IX Coordinator will evaluate the Formal Complaint and must dismiss it if the Title IX Coordinator determines:

- The conduct alleged in the Formal Complaint would not constitute Sexual Harassment, even if proved; or
- The conduct alleged in the Formal Complaint falls outside the scope of this Policy (*i.e.*, because the alleged conduct did not occur in the University's Education Programs and Activities).

- *The conduct alleged in the Formal Complaint took place outside the United States.*

In the event the Title IX Coordinator determines the Formal Complaint should be dismissed pursuant to this Section, the Title IX Coordinator will provide written notice of dismissal to the parties and advise them of their right to appeal. The Title IX Coordinator may refer the subject matter of the Formal Complaint to other University offices, as appropriate. A dismissal pursuant to this Section is

presumptively a final determination for purposes of this policy, unless otherwise specified in writing by the Title IX Coordinator in the written notice of dismissal.

D. *Notice of Formal Complaint*

~~Within five days of the Title IX Coordinator~~*Upon* receiving a Formal Complaint, the Title IX Coordinator *or designee* will *promptly* transmit a written notice to the Complainant and Respondent that includes:

- A physical copy of or hyperlink to this Policy;
- Sufficient details known at the time so that the Parties may prepare for an initial interview with the investigator, to include the identities of the parties involved in the incident (if known), the conduct allegedly constituting Sexual Harassment, and the date and location of the alleged incident (if known);
- A statement that the Respondent is presumed not responsible for the alleged Sexual Harassment and that a determination of responsibility will not be made until the conclusion of the adjudication and any appeal;
- Notifying the Complainant and Respondent of their right to be accompanied by an advisor of their choice;
- Notifying the Complainant and Respondent of their right to inspect and review evidence;
- Notifying the Complainant and Respondent of the University's prohibitions on retaliation and false statements; and
- Information about resources that are available on campus and in the community.

Should the University elect, at any point, to investigate allegations that are materially beyond the scope of the initial written notice, the University will provide a supplemental written notice describing the additional allegations to be investigated.

E. *Presumption of Non-Responsibility*

From the time a report or Formal Complaint is made, a Respondent is presumed not responsible for the alleged misconduct until a determination regarding responsibility is made final.

XIII. Investigation

I. *Commencement and Timing*

After the written notice of Formal Complaint is transmitted to the Parties, an investigator selected by the Title IX Coordinator will undertake an investigation to gather evidence relevant to the alleged misconduct, including inculpatory and exculpatory evidence. The burden of gathering evidence sufficient to reach a determination in the adjudication lies with the University and not with the Parties. The investigation will culminate in a written investigation report that will be submitted to the adjudicator during the selected adjudication process. Although the length of each investigation may vary depending on the totality of the circumstances, the University strives to complete each investigation within ~~60 calendar~~*100 university business* days of the transmittal of the written notice of Formal Complaint.

J. *Equal Opportunity*

During the investigation, the investigator will provide an equal opportunity for the Parties to be interviewed, to present witnesses (including fact and expert witnesses), and to present other inculpatory and exculpatory evidence. Notwithstanding the foregoing, the investigator retains discretion to limit the number of witness interviews the investigator conducts if the investigator finds that testimony would be unreasonably cumulative, if the witnesses are offered solely as character references and do not have information relevant to the allegations at issue, or if the witnesses are offered to render testimony that is ~~categorically inadmissible, such as testimony concerning sexual history of the Complainant.~~*not Relevant.* The investigator will not restrict the ability of the parties to gather and present relevant evidence on their own.

The investigation is a Party's opportunity to present testimonial and other evidence that the Party believes is relevant to resolution of the allegations in the Formal Complaint. A Party that is aware of and has a reasonable opportunity to present particular evidence and/or identify particular witnesses during the investigation, and elects not to, will be prohibited from introducing any such evidence during the adjudication absent a showing of mistake, inadvertence, surprise, or excusable neglect.

K. *Documentation of Investigation*

The investigator will take reasonable steps to ensure the investigation is documented. Interviews of the parties and witnesses may be documented by the investigator's notes, audio recorded, video recorded, or transcribed. The particular method utilized to record the interviews of parties and witnesses will determined by the investigator in the investigator's sole discretion, although whatever method is chosen shall be used consistently throughout a particular investigation.

L. *Access to the Evidence*

At the conclusion of the evidence-gathering phase of the investigation, but prior to the completion of the investigation report, the investigator will transmit to each Party and their advisor, in either electronic or hard copy form, all evidence obtained as part of the investigation that is directly related to the allegations raised in the Formal Complaint, including evidence the University may choose not to rely on at any hearing and inculpatory or exculpatory evidence whether obtained from a Party or some other source. The parties will have ten calendar days in which to submit to the investigator a written response, which the investigator will consider prior to completing the investigation report.

The parties and their advisors are permitted to review the evidence solely for the purposes of this grievance process and may not duplicate or disseminate the evidence to the public.

M. *Investigation Report*

After the period for the parties to provide any written response has expired, the investigator will complete a written investigation report that fairly summarizes the various steps taken during the investigation, summarizes the relevant evidence collected, lists material facts on which the parties agree, and lists material facts on which the parties do not agree. When the investigation report is complete, the investigator will transmit a copy to the Title IX Coordinator. The investigator will also transmit the investigation report to each Party and their advisor, in either electronic or hard copy form.

XIV. Adjudication Process Selection

After the investigator has sent the investigation report to the parties, the Title IX Coordinator will transmit to each Party a notice advising the Party of the two different adjudication processes specified below. The notice will explain that the hearing process is the default process for adjudicating all Formal Complaints and will be utilized unless both parties voluntarily consent to administrative adjudication as a form of informal resolution. The notice will be accompanied by a written consent to administrative adjudication and will advise each Party that, if both parties execute the written consent to administrative adjudication, then the administrative adjudication process will be used in in lieu of the hearing process. Parties are urged to carefully review this Policy, consult with their advisor, and consult with other persons as they deem appropriate (including an attorney) prior to consenting to administrative adjudication.

Each Party will have three calendar days from transmittal of the notice specified below to return the signed written consent form to the Title IX Coordinator. If either Party does not timely return the signed written consent, that Party will be deemed not to have consented to administrative adjudication and the Formal Complaint will be adjudicated pursuant to the hearing process.

XV. Adjudication

I. *Hearing Process*

The process for adjudicating Formal Complaints is the hearing process specified in this Section. The hearing process will be used to adjudicate all Formal Complaints unless both ~~parties~~*parties'* timely consent to Informal Resolution.

Non-participation by any party or their advisor at any point in the hearing process shall not delay the adjudication.

1. Hearing Panel

After selection of the hearing process as the form of ~~administrative~~ adjudication, the Title IX Coordinator will promptly appoint a hearing panel which will oversee the hearing process and render a determination of responsibility for the allegations in the Formal Complaint, at the conclusion of the hearing process. The Title IX Coordinator will see that the hearing panel is provided a copy of the investigation report and a copy of all evidence transmitted to the parties by the investigator. The hearing panel is composed of three people selected from a pool of trained panelists, one of whom will serve as the hearing panel chair. Neither the investigator nor the Title IX Coordinator may serve on the hearing panel. Panelists whose relationship with a party in an investigation causes a conflict of interest shall be excluded from the panel. The hearing panel is responsible for conducting a live hearing for alleged violations of this policy and for making a determination of responsibility and, when appropriate, apply sanctions. Hearing panelists shall complete ongoing training regarding the issues contained in this policy.

2. Hearing Notice and Response to the Investigation Report

After the hearing panel is appointed by the Title IX Coordinator, the hearing panel chair will promptly transmit written notice to the parties notifying the parties of the hearing panel's

appointment; setting a deadline for the parties to submit any written response to the investigation report; setting a date for the pre-hearing conference; and setting a date and time for the hearing. Neither the pre-hearing conference, nor the hearing itself, may be held any earlier than ten calendar days from the date of transmittal of the written notice.

A Party's written response to the investigation report must include:

- To the extent the Party disagrees with the investigation report, any argument or commentary regarding such disagreement;
- Any argument that evidence should be ~~categorically~~ excluded from consideration at the hearing based on ~~privilege,~~ relevancy~~, the prohibition on the use of sexual history, or for any other reason;~~.
- A list of any witnesses that the Party contends should be requested to attend the hearing pursuant to an attendance notice issued by the hearing panel chair;
- A list of any witnesses that the Party intends to bring to the hearing without an attendance notice issued by the hearing officer;
- Any request that the parties be separated physically during the pre-hearing conference and/or hearing;
- Any other accommodations that the Party seeks with respect to the pre-hearing conference and/or hearing;
- The name and contact information of the advisor who will accompany the Party at the pre-hearing conference and hearing;
- If the Party does not have an advisor who will accompany the Party at the hearing, a request that the University provide an advisor for purposes of conducting questioning.

A Party's written response to the investigation report may also include:

- Argument regarding whether any of the allegations in the Formal Complaint are supported by a preponderance of the evidence; ~~and~~
- Argument regarding whether any of the allegations in the Formal Complaint constitute Sexual Harassment~~.~~*;*
- *Relevant evidence which was not included in the investigation report due to mistake, inadvertence, surprise or excusable neglect;*
- *Questions which the parties' advisors intend to ask during cross-examination at the hearing to be ruled on for relevancy by the hearing chair prior to the hearing; and*
- *Concerns of bias or conflict of interest which may exist between a party and a member or members of the hearing panel*.

3. Pre-Hearing Conference

Prior to the hearing, the hearing chair will conduct a pre-hearing conference with the parties and their advisors. The pre-hearing conference will be conducted live, with ~~simultaneous and contemporaneous~~ participation by the parties and their advisors. By default, the pre-hearing conference will be conducted with the hearing officer, the parties, the advisors, and other necessary University personnel, if any, together in the same physical location. However, upon request of either

Party, the parties will be separated into different rooms with technology enabling the parties to participate ~~simultaneously and contemporaneously~~ by video and audio.

In the hearing chair's discretion, the pre-hearing conference may be conducted virtually, by use of video and audio technology, where all participants participate ~~simultaneously and contemporaneously~~ by use of such technology.

During the pre-hearing conference, the hearing chair will discuss the hearing procedures with the parties; address matters raised in the parties' written responses to the investigation report, as the hearing officer deems appropriate; discuss whether any stipulations may be made to expedite the hearing; discuss the witnesses the parties have requested be served with notices of attendance and/or witnesses the parties plan to bring to the hearing without a notice of attendance; and resolve any other matters that the hearing officer determines, in the hearing chair's discretion, should be resolved before the hearing. *Effort shall be made by the hearing chair to conduct pre-hearing conferences that are equitable and present information that is materially the same to all parties and advisors.*

4. Issuance of Notices of Attendance

After the pre-hearing conference, the hearing chair will transmit notices of attendance to any University employee (including administrator, faculty, or staff) or student whose attendance is requested at the hearing as a witness~~.~~*, including those requested by the hearing panel.* The notice will advise the subject of the specified date and time of the hearing and advise the subject to contact the hearing chair immediately if there is a material and unavoidable conflict.

The subject of an attendance notice should notify any manager, faculty member, coach, or other supervisor, as necessary, if attendance at the hearing will conflict with job duties, classes, or other obligations. All such managers, faculty members, coaches, and other supervisors are required to excuse the subject of the obligation, or provide some other accommodation, so that the subject may attend the hearing as specified in the notice.

The University ~~will~~*is* not *obligated to* issue a notice of attendance to any witness who is not an employee or a student.

5. Hearing

After the pre-hearing conference, the hearing panel will convene and conduct a hearing. The hearing will be audio recorded. The audio recording will be made available to the parties for inspection and review on reasonable notice, including for use in preparing any subsequent appeal.

The hearing will be conducted live, with simultaneous and contemporaneous participation by the parties and their advisors. By default, the hearing will be conducted with the hearing panel, the parties, the advisors, witnesses, and other necessary University personnel together in the same physical location. However, upon request of either Party, the parties will be separated into different rooms with technology enabling the parties to participate simultaneously and contemporaneously by video and audio. The hearing may, in the hearing chair's discretion, be conducted virtually, by use

of video and audio technology, where all participants participate simultaneously and contemporaneously by use of such technology.

While the rulings from the hearing chair will govern the particulars of the hearing, each hearing will include, at a minimum:

- Opportunity for each Party to address the hearing panel directly and to respond to questions posed by the hearing chair;
- Opportunity for each Party's advisor to ask directly, orally, and in real time, relevant questions, and follow up questions, of the other Party and any witnesses, including questions that support or challenge credibility;
- Opportunity for each Party to raise contemporaneous objections to testimonial or non-testimonial evidence and to have such objections ruled on by the hearing chair and a reason for the ruling provided;
- Opportunity for each Party to submit evidence that the Party did not present during the investigation *or pre-hearing conference* due to mistake, inadvertence, surprise, or excusable neglect;
- Opportunity for each Party to make a brief closing argument.

Except as otherwise permitted by the hearing chair, the hearing will be closed to all persons except the parties, their advisors, the investigator, the hearing panel, the Title IX Coordinator, and other necessary University personnel. With the exception of the investigator and the parties, witnesses will be sequestered until such time as their testimony is complete.

During the hearing, the parties and their advisors will have access to the investigation report and evidence that was transmitted to them.

While a Party has the right to attend and participate in the hearing with an advisor, a Party and/or advisor who materially and repeatedly violates the rules of the hearing in such a way as to be materially disruptive, may be barred from further participation and/or have their participation limited~~, as the case may be, in~~ *at* the discretion of the hearing officer.

Subject to the minimum requirements specified in this Section, the hearing chair will have sole discretion to determine the manner and particulars of any given hearing, including with respect to the length of the hearing, the order of the hearing, and questions of admissibility. The hearing chair will independently and contemporaneously screen questions for relevance in addition to resolving any contemporaneous objections raised by the parties and will explain the rational for any evidentiary rulings.

The hearing is not a formal judicial proceeding and strict rules of evidence do not apply.

All participants shall be subject to the university's rules of decorum during hearing processes.

6. Subjection to Questioning

In the event that any Party or witness refuses to attend the hearing, or attends but refuses to submit to questioning by the Parties' advisors, the statements of that Party or witness~~, as the case may be,~~

whether given during the investigation or during the hearing, ~~will not~~*may* be considered by the hearing panel in reaching a determination of responsibility. *The hearing panel will rely on appropriate training to judge the credibility and weight given to any statement or evidence presented in the hearing or the investigative report in making a determination of responsibility.*

~~Notwithstanding the foregoing, the hearing panel may consider the testimony of any Party or witness, whether given during the investigation or during the hearing, if the parties jointly stipulate that the testimony may be considered or in the case where neither Party requested attendance of the witness at the hearing.~~

In applying this Section, the hearing panel will not draw an inference about the determination ~~regarding~~*of* responsibility based solely on a Party or a witness's absence from the live hearing and/or refusal to submit to questioning by the parties' advisors.

7. Deliberation and Determination

After the hearing is complete, the hearing panel will objectively evaluate all relevant evidence collected during the investigation, including both inculpatory and exculpatory evidence, together with testimony and non-testimony evidence received at the hearing, and ensure that any credibility determinations made are not based on a person's status as a Complainant, Respondent, or witness. The hearing panel will take care to exclude from consideration any evidence that was ruled ~~inadmissible~~*not Relevant* at the pre-hearing conference, during the hearing, or otherwise. The hearing panel will resolve disputed facts using a preponderance of the evidence (i.e., "more likely than not") standard and reach a determination regarding whether the facts that are supported by a preponderance of the evidence constitute one or more violations of the policy as alleged in the Formal Complaint.

8. Discipline and Remedies

In the event the hearing panel determines that the Respondent is responsible for violating this policy, the hearing chair will, prior to issuing a written decision, consult with an appropriate University official with disciplinary authority over the Respondent and such official will determine any discipline to be imposed~~.~~ *and the process to follow through with such discipline in coordination with other University departments as necessary.* The hearing chair will also, prior to issuing a written decision, consult with the Title IX Coordinator who will determine whether and to what extent ongoing support measures or other remedies will be provided to the Complainant.

If a student is found responsible for Sexual Harassment and the sanction imposed makes the student ineligible to reenroll in the University (i.e., suspension or expulsion), the University will include a notation on the student's transcript. The student may request the removal of a transcript notation imposed under this Policy if:

- the student becomes eligible to reenroll at the University; or
- the University determines that good cause exists to remove the notation.

If the University receives an appropriate request by another postsecondary educational institution, the University will provide to the requesting institution information relating to the University's determination that the student violated this Policy.

9. Written Decision

After reaching a determination and consulting with the appropriate University official and Title IX Coordinator as required above, the hearing chair will prepare a written decision that will include:

- Identification of the allegations potentially constituting *covered* Sexual Harassment made in the Formal Complaint;
- A description of the procedural steps taken by the University upon receipt of the Formal Complaint, through issuance of the written ~~decision~~*determination*, including notification to the parties, interviews with the parties and witnesses, site visits, methods used to gather non-testimonial evidence, and the date, location, and people who were present at or presented testimony at the hearing.
- ~~Articulate findings~~*Findings* of fact, made under a preponderance of the evidence standard, that support the determination;
- A statement of, and rationale for, each allegation that constitutes a separate potential incident of Sexual Harassment, including a determination regarding responsibility for each separate potential incident;
- The discipline determined by the appropriate University official;
- Whether the Complainant will receive any ongoing support measures or other remedies as determined by the Title IX Coordinator; and
- A description of the University's process and grounds for appeal.

The hearing chair's written determination will be transmitted to the parties. Transmittal of the written determination to the parties concludes the hearing process, subject to any right of appeal.

Although the length of each adjudication by hearing will vary depending on the totality of the circumstances, the University strives to issue the hearing chair's written determination within 15 business days of the conclusion of the hearing.

J. *Administrative Adjudication*

In lieu of the hearing process *and to the extent not prohibited by federal law*, the Parties may consent to have a Formal Complaint resolved by administrative adjudication as a form of informal resolution. Administrative adjudication is voluntary and must be consented to in writing by both parties and approved by the Title IX Coordinator. At any time prior to the issuance of the administrative officer's determination, a Party has the right to withdraw from administrative adjudication and request a live hearing.

If administrative adjudication is selected, the Title IX Coordinator will appoint an administrative officer who does not need to be an employee of the University. The Title IX Coordinator will see that the administrative adjudicator is provided a copy of the investigation report and a copy of all the evidence transmitted to the parties by the investigator.

The administrative officer will promptly send written notice to the Parties notifying the parties of the administrative officer's appointment; setting a deadline for the parties to submit any written response to the investigation report; and setting a date and time for each party to meet with the administrative officer separately. The administrative officer's meetings with the parties will not be held any earlier than ten calendar days from the date of transmittal of the written notice specified in this paragraph.

A Party's written response to the investigation report must include:

- To the extent the party disagrees with the investigation report, any argument or commentary regarding such disagreement;
- Any argument that a particular piece or class of evidence should be categorically excluded from consideration at the hearing based on privilege, relevancy, the prohibition on the use of sexual history, or for any other reason;
- Argument regarding whether any of the allegations in the Formal Complaint are supported by a preponderance of the evidence;
- Argument regarding whether any of the allegations in the Formal Complaint constitute Sexual Harassment.

After reviewing the Parties' written responses, the administrative officer will meet separately with each party to provide the Party with an opportunity make any oral argument or commentary the Party wishes to make and for the administrative officer to ask questions concerning the Party's written response, the investigative report, and/or the evidence collected during the investigation.

After meeting with each Party, the administrative officer will objectively ~~revaluate~~*re-evaluate* all relevant evidence, including both inculpatory and exculpatory evidence and ensure that any credibility determinations made are not based on a person's status as a Complainant, Respondent, or witness. The administrative officer will take care to exclude from consideration any evidence that the administrative officer determines should be ruled inadmissible based on the objections and arguments raised by the Parties in their respective written responses to the investigation report. The administrative officer will resolve disputed facts using a preponderance of the evidence (*i.e.*, "more likely than not") standard and reach a determination regarding whether the facts that are supported by a preponderance of the evidence constitute one or more violations of the policy as alleged in the Formal Complaint.

Thereafter, the administrative officer will consult with any University official and the Title IX Coordinator and will prepare and transmit a written decision which shall serve as a resolution for purposes of informal resolution.

Transmittal of the administrative officer's written determination concludes the administrative adjudication, subject to any right of appeal.

Although the length of each administrative adjudication will vary depending on the totality of the circumstances, the University strives to issue the administrative officer's written determination within twenty-one calendar days of the transmittal of the initiating written notice.

XVI. Dismissal During Investigation or Adjudication

The University may dismiss a Formal Complaint at any point during the investigation or adjudication process if the Title IX Coordinator determines that any one or more of the following is true:

- The Complainant provides the Title IX Coordinator written notice that the Complainant wishes to withdraw the Formal Complaint or any discrete allegations therein (in which case those discrete allegations may be dismissed);
- The Respondent is no longer enrolled or employed by the University; or
- Specific circumstances prevent the University from gathering evidence sufficient to reach a determination as to the Formal Complaint, or any discrete allegations therein (in which case those discrete allegations may be dismissed).

In the event the Title IX Coordinator determines that a Formal Complaint should be dismissed pursuant to this Section, the Title IX Coordinator will provide written notice of dismissal to the parties and advise them of their right to appeal. The Title IX Coordinator may refer the subject matter of the Formal Complaint to other University offices, as appropriate. A dismissal pursuant to this Section is presumptively a final determination as it pertains to this policy, unless otherwise specified in writing by the Title IX Coordinator in the written notice of dismissal.

XVII. Appeal

A. *Grounds for Appeal*

Either Party may appeal the determination of an adjudication, or a dismissal of a Formal Complaint, on one or more of the following grounds:

1. A procedural irregularity affected the outcome;

2. There is new evidence that was not reasonably available at the time the determination or dismissal was made, that could have affected the outcome;

3. The Title IX Coordinator, investigator, hearing panel, or administrative officer had a conflict of interest or bias for or against complainants or respondents generally, or against the individual Complainant or Respondent, that affected the outcome.

No other grounds for appeal are permitted.

B. *Deadline to File Appeal*

A Party must file an appeal within seven calendar days of the date they receive notice of dismissal or determination appealed from or, if the other Party appeals, within three calendar days of the other Party appealing, whichever is later. All parties will be provided a link to the appeal form upon notification of the findings in their case. The appeal must be submitted in writing and- must specifically identify the determination and/or dismissal appealed from, articulate which one or more of the three grounds for appeal are being asserted, explain in detail why the appealing Party believes the appeal should be granted, and articulate what specific relief the appealing Party seeks.

Appeals should be submitted using the online appeal form which can be found on the Lumberjacks Care webpage at http://www.sfasu.edu/lumberjacks-care.

C. *Resolution of Appeal*

Promptly upon receipt of an appeal, the *Title IX Coordinator or designee will appoint an* appeal officer *who* will conduct an initial evaluation to confirm that the appeal is timely filed and that it invokes at least one of the permitted grounds for appeal. If the appeal officer determines that the appeal is not timely, or that it fails to invoke a permitted ground for appeal, the appeal officer will dismiss the appeal and provide written notice of the same to the parties.

If the appeal officer confirms that the appeal is timely and invokes at least one permitted ground for appeal, the appeal officer will provide written notice to the other Party that an appeal has been filed and that the other Party may submit a written opposition to the appeal within seven calendar days. The appeal officer shall also promptly obtain from the Title IX Coordinator *or designee* any records from the investigation and adjudication necessary to resolve the grounds raised in the appeal.

Upon receipt of any opposition, or after the time period for submission of an opposition has passed without one being filed, the appeal officer will promptly decide the appeal and transmit a written decision to the parties that explains the outcome of the appeal and the rationale. The determination of a Formal Complaint, including any discipline, becomes final when the time for appeal has passed with no Party filing an appeal or, if any appeal is filed, at the point when the appeal officer has resolved all appeals, either by dismissal or by transmittal of a written decision. No further review beyond the appeal is permitted.

Although the length of each appeal will vary depending on the totality of the circumstances, the University strives to issue the appeal officer's written decision within 21 calendar days of an appeal being filed.

XVIII. Informal Resolution

The University may, in the Title IX Coordinator's discretion, facilitate an Informal Resolution in accordance with the protocol outlined below.

A. *Guiding Principles*

Generally, informal resolution involves a structured, supervised interaction between the Parties and/or other affected community members that seeks to identify and meet the needs of the Complainant while providing an opportunity for the Respondent and/or other affected community members to ~~accept responsibility and~~ repair harm (to the extent possible). Informal resolution may not include an investigation, hearing, or disciplinary action against a Respondent (including transcript notations), but may include imposing appropriate and reasonable remedies as agreed to by the Parties. All informal resolutions are facilitated by a trained administrator or outside expert.

B. *Availability of Informal Resolution*

Informal resolution is available in matters in which the Title IX Coordinator, in the Title IX Coordinator's discretion, determines it is appropriate. Factors the University will consider when

determining whether a report of Prohibited Conduct is suitable for ~~Alternative~~*Informal* Resolution include, but are not limited to:

- the nature and severity of the conduct, including whether the use of force or a weapon was involved;
- the Respondent's prior known disciplinary or criminal conduct, including whether the University has received other reports of Prohibited Conduct committed by the Respondent;
- whether the alleged incident poses a risk of harm to other individuals or the community;
- the dynamics of power or control commonly associated with the alleged conduct or the nature of the parties' relationship;
- whether multiple parties are affected or involved;
- any admissions of responsibility by the Respondent; and
- any other factor deemed relevant by the Title IX Coordinator or their designee in the interest of overall campus safety or safety of the parties involved.

Informal resolution will not be permitted if ~~the~~*:*

- *The* Respondent is a non-student employee accused of committing Sexual Harassment against a student,
- *The allegations include Sexual Assault,*
- *The allegations include ongoing Dating and/or Domestic Violence, or*
- *An imminent threat of harm exists.*

The Title IX Coordinator's determination on whether the allegations may be resolved with an Informal Resolution is not subject to appeal.

C. *Informal Resolution Process*

At any time after the parties are provided written notice of the Formal Complaint, and before the completion of any appeal, the parties may voluntarily consent, with the Title IX Coordinator's approval, to engage in mediation, facilitated resolution, or other form of dispute resolution the goal of which is to enter into a final resolution resolving the allegations raised in the Formal Complaint by agreement of the parties. Administrative Adjudication is a form of informal resolution.

The specific manner of any informal resolution process will be determined by the Parties and the Title IX Coordinator, in consultation together. Prior to commencing the informal resolution process agreed upon, the Title IX Coordinator will transmit a written notice to the Parties that:

- Describes the parameters and requirements of the informal resolution process to be utilized;
- Identifies the individual responsible for facilitating the informal resolution (who may be the Title IX Coordinator, another University official, or a suitable third-Party);

- Explains the effect of participating in informal resolution and/or reaching a final resolution will have on a Party's ability to resume the investigation and adjudication of the allegations at issue in the Formal Complaint; and
- Explains any other consequence resulting from participation in the informal resolution process, including a description of records that will be generated, maintained, and/or shared.

After receiving the written notice specified in this paragraph, each Party must voluntarily provide written consent to the Title IX Coordinator, before the informal resolution may commence. The University will not pressure or compel any individual to engage in mediation, to directly confront the other, or to participate in any particular form of informal resolution. Individuals may be accompanied by an adviser or support person at any meetings related to the informal resolution process.

If the Parties reach a resolution through the informal resolution process, and the Title IX Coordinator agrees that the resolution is not clearly unreasonable, the Title IX Coordinator will reduce the terms of the agreed resolution to writing and present the resolution to the parties for their written signature. Once both parties and the Title IX Coordinator sign the resolution, the resolution is final, and the allegations addressed by the resolution are considered resolved and will not be subject to further investigation, adjudication, remediation, or discipline by the University, except as otherwise provided in the resolution itself, absent a showing that a Party induced the resolution by fraud, misrepresentation, or other misconduct or where required to avoid a manifest injustice to either Party or to the University. Notwithstanding the forgoing if the form of informal resolution is Administrative Adjudication, there shall not be an agreed resolution requiring the parties' signatures; instead, the determination issued by the administrative officer shall serve as the resolution and conclude the informal resolution process, subject only to any right of appeal. With the exception of a resolution resulting from the Administrative Adjudication process, all other forms of informal resolution pursuant to this Section are not subject to appeal.

~~D~~

D. Informal Resolution Options

The office of Title IX at Stephen F. Austin State University offers the following informal resolution procedures for addressing Formal Complaints of Sexual Harassment covered in this policy:

Mutual No-Contact Directive: A mutual no-contact directive is a contract provided by the Office of Title IX, the terms of which are that the parties will not initiate contact with each other in person, over text or social media, or through third parties.

Mediation: The purpose of mediation is for the involved parties to identify appropriate remedies to resolve the allegations and maintain equitable access to educational activities. During mediation, a facilitator will guide a conversation between parties in separate meetings; the parties will be asked not to contact each other directly during the process. Mediation may not result in disciplinary action against a Respondent but may include imposing appropriate and reasonable remedies as agreed to by the parties.

Administrative Adjudication: Administrative Adjudication is a form of informal resolution. Notwithstanding the foregoing if the form of informal resolution is administrative adjudication, there shall not be an agreed resolution requiring the parties' signatures; instead, the determination issued by the administrative officer shall serve as the resolution and conclude the informal resolution process, subject only to any right of appeal.

With the exception of a resolution resulting from the Administrative Adjudication process, all other forms of informal resolution are not subject to appeal.

E. Termination of Informal Resolution

A Party may withdraw their consent to participate in informal resolution at any time before a resolution has been finalized. *If the parties withdraw from the informal resolution process, information disclosed or obtained during the informal resolution may be included as evidence during the formal investigation and live hearing.*

~~E~~

F. Deadlines for Informal Resolution

Absent extension by the Title IX Coordinator, any informal resolution process must be completed within ~~21 calendar days.~~*15 university business days, unless otherwise deemed by the Title IX Coordinator.* If an informal resolution process does not result in a resolution within 21 calendar days, and absent an extension, abeyance, or other contrary ruling by the Title IX Coordinator, the informal resolution process will be deemed terminated, and the Formal Complaint will be resolved pursuant to the investigation and adjudication procedures. The Title IX Coordinator may adjust any time periods or deadlines in the investigation and/or adjudication process that were suspended due to the informal resolution.

During the pendency of the informal resolution process, the investigation and adjudication processes that would otherwise occur are stayed and all related deadlines are suspended.

XIX. Other Investigation and Adjudication Considerations

A. Advisor of Choice

From the point a Formal Complaint is made, and until an investigation, adjudication, and appeal are complete, the Complainant and Respondent will have the right to be accompanied by an advisor of their choice to all meetings, interviews, and hearings that are part of the investigation, adjudication, and appeal process. The advisor may be, but is not required to be, an attorney.

Except for the questioning of witnesses during the hearing, the advisor will play a passive role and is not permitted to communicate on behalf of a Party, insist that communication flow through the advisor, or communicate with the University about the matter without the Party being included in the communication. In the event a Party's advisor of choice engages in material violation of the parameters specified in this policy, the University may preclude the advisor from further participation, in which case the Party may select a new advisor of their choice.

In the event a Party is not able to secure an advisor to attend the and requests the University to provide an advisor, the University will provide the Party an advisor, without fee or charge, who will conduct questioning on behalf of the Party at the hearing. The University will have sole discretion to select the advisor it provides. The advisor the University provides may be, but is not required to be, an attorney.

The University will provide an advisor to any Party upon receipt of a request to the Title IX Coordinator or their designee. The University will provide an advisor for any Party at a hearing for the purpose of cross-examining a Party or witness.

The role of advisors in cross-examination in Title IX hearings shall not constitute the practice of law as reserved for a licensed attorney. Licensed attorneys retained as advisors for Title IX proceedings shall fill the role of an advisor, not the role of an attorney.

B. *Conflicts of Interest, Bias, and Procedural Complaints*

The Title IX Coordinator, investigator, hearing officer, administrative officer, appeals officer, and informal resolution facilitator will be free of any material conflicts of interest or material bias. Any Party who believes one or more of these University officials has a material conflict of interest or material bias must raise the concern promptly so that the University may evaluate the concern and find a substitute, if appropriate. The failure of a Party to timely raise a concern of a conflict of interest or bias may result in a waiver of the issue for purposes of any appeal.

C. *Objections Generally*

Parties are expected to raise any objections, concerns, or complaints about the investigation, adjudication, and appeals process in a prompt and timely manner so that the University may evaluate the matter and address it, if appropriate.

D. *Treatment Records and Other Privileged Information*

During the investigation and adjudication processes, the investigator and adjudicator are not permitted to access, consider, disclose, permit questioning concerning, or otherwise use:

- a Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional or paraprofessional's capacity, or assisting in that capacity, and which are made and maintained in connection with the provision of treatment to the Party; or
- information or records protected from disclosure by any other legally-recognized privilege, such as the attorney-client privilege

unless the University has obtained the Party's voluntary, written consent to do so for the purposes of the investigation and adjudication process.

Notwithstanding the foregoing, the investigator and/or adjudicator, may consider any such records or information otherwise covered by this Policy if the Party holding the privilege affirmatively discloses the records or information to support their allegation or defense.

E. *Sexual History*

During the investigation and adjudication processes, questioning regarding a Complainant's sexual predisposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed the conduct alleged, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent. Notwithstanding the foregoing, a Complainant who affirmatively uses information otherwise considered irrelevant by this Section for the purpose of supporting the Complainant's allegations, may be deemed to have waived the protections of this Section.

F. *Student Withdrawal or Graduation Pending Disciplinary Charges*

If a student withdraws or graduates from the University pending an investigation of a complaint of Sexual Misconduct under this Policy, the University will expedite the disciplinary process as necessary to accommodate both the Complainant and the Respondent's interest in a speedy resolution and continue the investigation with or without the participation of the Respondent.

G. *Academic Freedom*

The University will construe and apply this Policy consistent with the principles of academic freedom specified in policy 7.3, Academic Freedom and Responsibility. In no case will a Respondent be found to have committed Sexual Harassment based on expressive conduct that is protected by the principles of academic freedom specified in university policy.

XX. Other Policy Violations

A. *Bad Faith Complaints and False Information*

It is a violation of this policy for any person to submit a report or Formal Complaint that the person knows, at the time the report or Formal Complaint is submitted, to be false or frivolous. It is also a violation of this policy for any person to knowingly make a materially false statement during the course of an investigation, adjudication, or appeal under this policy. Violations of this Section are not subject to the investigation and adjudication processes in this policy; instead, they will be addressed under the Student Code of Conduct in the case of students and other University policies and standards, as applicable, for other persons.

B. *Other Sex-Based Misconduct*

This policy applies only to Sexual Harassment as defined in this Policy. Complaints of other forms of sex discrimination are governed by policy 2.11, Nondiscrimination Policy.

XXI. Sanctions

I. Disciplinary sanctions or other actions that are not supportive measures shall not be imposed on Respondents prior to a determination of responsibility except in cases meeting the requirements for emergency removals.

J. The designated administrator may decide sanctions, if any, or may delegate the sanctioning decision to another authority. Sanctioning decisions involving employees must be determined in consultation with Human Resources.

K. Sanctions may have rehabilitative, educational, and restorative elements for students. In addition, sanctions may have punitive components. Examples of sanctions may include, but are not limited to, written reprimand or warning, required training, no-contact directives, probation, suspension, and employment dismissal and/or expulsion.

L. Students found responsible for committing Dating or Domestic Violence and/or Sexual Assault will be subject to permanent expulsion with a minimum sanction of a one-year suspension, in the absence of sign~~i~~ficant mitigating factors.

M. Students found responsible for committing acts of Sexual Harassment, Sexual Assault, Stalking, Dating Violence, Domestic Violence, and/or any other sex-based misconduct who are allowed to return after a suspension of one year or more will be ineligible to represent the university in any way or to hold an office in any recognized student organization. This includes intercollegiate athletics or other competitions, both on and off campus, and ineligible to receive an institutional scholarship, in the absence of significant mitigating factors.

N. When an employee is found to have sexually harassed or engaged in sex-based misconduct as defined in this policy, the sanction will be termination of employment.

O. For sex discrimination complaints, both the Complainant(s) and the Respondent(s) will be informed in writing of any and all sanctions, except when to do so would violate state or federal law (e.g., Family Educational Rights and Privacy Act).

XXII. Records Retention

The University shall meet minimum requirements for Title IX processes records retention (whether digital or analog) set forth by federal regulation, state law, and university policy.

~~XXI.~~*XXIII.* Discretion in Application

A. *Interpretation*

The University retains discretion to interpret and apply this Policy in a manner that is not clearly unreasonable, even if the University's interpretation or application differs from the interpretation of the Parties.

The provisions of this Policy and the Hearing Procedures are not contractual in nature, whether in their own right, or as part of any other express or implied contract. Accordingly, the University retains discretion to revise this Policy and the Hearing Procedures at any time, and for any reason. The University may apply Policy revisions to an active case provided that doing so is not clearly unreasonable.

B. *Outside Appointments, Dual Appointments, and Delegations*

The University retains discretion to retain and appoint suitably qualified persons who are not University employees to fulfill any function of the University under this policy, including, but not limited to, the investigator, hearing officer, administrative officer, informal resolution officer, and/or appeals officer. The University also retains discretion to appoint two or more persons to jointly fulfill the role of investigator, hearing officer, administrative officer, informal resolution officer, and/or appeals officer.

The functions assigned to a given University official under this policy, including but not limited to the functions assigned to the Title IX Coordinator, investigator, hearing officer, administrative officer, informal resolution officer, and appeals officer, may, in the University's discretion, be delegated by such University official to any suitably qualified individual and such delegation may be recalled by the University at any time.

C. *Vendors, Contractors and Third Parties*

The University does business with various vendors, contractors, and other third-parties who are not students or employees of the University. Notwithstanding any rights that a given vendor, contractor, or third-party Respondent may have under this policy, the University retains its right to limit any vendor, contractor, or third-party's access to campus for any reason. And the University retains all rights it enjoys by contract or law to terminate its relationship with any vendor, contractor, or third-party irrespective of any process or outcome under this policy.

D. *Recordings*

Wherever this policy specifies that an audio or video recording will be made, the recording will be made only by the University and is considered property of the University, subject to any right of access that a Party may have under this policy, FERPA, and other applicable federal, state, or local

laws. Only the University is permitted to make audio or video recordings under this policy. The surreptitious recording of any meeting, interview, hearing, or other interaction contemplated under this policy is strictly prohibited. ~~Any Party who wishes to transcribe a hearing by use of a transcriptionist must seek pre-approval from the hearing officer~~*Should any Party desire a transcription of the recording, a request should be made to the Title IX Office and the requesting Party is responsible for all associated costs.*

E. *Relationship With Criminal Process*

This policy sets forth the University's processes for responding to reports and Formal Complaints of Sexual Harassment. The University's processes are separate, distinct, and independent of any criminal processes. While the University may temporarily delay its processes under this policy to avoid interfering with law enforcement efforts if requested by law enforcement, the University will otherwise apply this policy and its processes without regard to the status or outcome of any criminal process.

XXIV. Revocation by Operation of Law

Should any portion of the Title IX Final Rule, 85 Fed. Reg. 30026 (May 19, 2020), be stayed or held invalid by a court of law, or should the Title IX Final Rule be withdrawn or modified to not require the elements of this policy, this policy, or the invalidated elements of this policy, will be deemed revoked as of the publication date of the opinion or order and for all reports after that date, as well as any elements of the process that occur after that date if a case is not complete by that date of opinion or order publication. Should Policy 2.13, Title IX be revoked in this manner, any conduct covered under Policy 2.13 Title IX shall be investigated and adjudicated under the existing Nondiscrimination Policy 2.11.

Cross Reference: Nondiscrimination (2.11); Academic Freedom and Responsibility (7.3); Faculty Code of Conduct (7.11); Tenure and Continued Employment (7.29); Student Code of Conduct (10.4); Discipline and Discharge (11.4); Title IX of the Education Amendments Act of 1972, 20 U.S.C. §§ 1681; 42 U.S.C. § 1981; 34 C.F.R. Part 106; Tex. Educ. Code §§ 51.251-.260, .281-.293; Tex. Fam. Code §§ 71.0021, 004

Responsible for Implementation: President

Contact for Revision: Title IX Coordinator

Forms: Sexual Misconduct Reporting Form, Sexual Misconduct Appeal of Investigation Findings Form, ~~Responsible Employee~~ *Mandatory Reporter*- Title IX Reporting Form

Board Committee Assignment: Academic and Student Affairs

NAMING OPPORTUNITY

Pending Executive Session

Building and Grounds Committee

ELECTRICITY CONTRACT AUTHORIZATION

Explanation:

Stephen F. Austin State University participates in an electricity contract with members of the Texas A & M University system consortium in order to obtain competitive electricity rates. The current contract with Texas General Land Office acting through Cavallo Energy Texas, LLC will expire on December 31, 2023. In order to secure competitive rates in the future, members of the Texas A & M University system consortium have entered into a new contract with Direct Energy Business, LLC for a contract period of January 1, 2024 through June 30, 2025.

Recommendation:

The administration recommends that the university be authorized to enter into an electricity contract with members of the Texas A & M university system consortium with Direct Energy Business, LLC based on the best value for our university in securing competitive future rates. Designated funds and Auxiliary funds will be used for this purchase. The administration further recommends the president be authorized to sign all purchase orders and associated contracts or documents.

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:

Camps and Conferences 16.7
Campus Design Standards 16.6
Fire and Life Safety 13.24
Juanita Curry Boynton House 16.32
Norton HPE Complex 16.18

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Camps and Conferences

Policy Number: 16.7

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: Campus Living, Dining and Auxiliaries

Purpose of Policy (what does it do): Supplies requirements and guidelines for internal and external groups wishing to host a camp or conference on University property and using University facilities

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for <u>each</u> substantive revision: Semantics, clarification, and title changes

Specific rationale for deletion of policy:

Additional Comments:

Cross reference Campus Programs for Minors.

Reviewers:

Student Affairs Policy Committee
Brandon Frye, Vice President Student Affairs
Damon Derrick, General Counsel

Camps and Conferences

Original Implementation: 1987
Last Revision: ~~July 23, 2019~~*July 26, 2022*

Stephen F. Austin State University may host a variety of camps and conferences that make use of university facilities. This policy outlines certain requirements for these events.

Camps and Conference Policy and Procedure Manual

The university will maintain a manual outlining specific policies and procedures related to requesting, scheduling, producing and paying for camps and conferences. This manual will be available online, *and a printed copy* available from the ~~Student Services~~*Reservations O*~~o~~ffice *in the Baker Pattillo Student Center* and provided to each camp or conference director.

Camps and Conferences Coordinator

As the needs of camps and conferences are varied, the university provides a camps and conferences coordinator to assist with planning. This coordinator is the primary position at the university that assists camp and conference directors with arranging event inclusions such as housing, meals, meeting space, insurance and other special needs.

Eligibility

Any camp or conference requesting use of university facilities must ~~have a university sponsor~~*be sponsored by a university department*. It is the responsibility of the university sponsor to ensure that all programs and activities conducted on university property are in compliance with the Americans with Disabilities Act and university policy 13.5 (Campus Programs for Minors).

Insurance Requirements

As a condition of approval, each camp or conference is required to maintain an acceptable level of general liability and accident medical insurance coverage as outlined in the camps and conferences policy and procedure manual.

Cross Reference: Campus Programs for Minors (13.5)

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*

Forms: Camps and Conferences Policy and Procedure Manual

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Campus Design Standards

Policy Number: 16.6

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: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy provides design and construction teams with general guidance regarding the university's intent to develop a consistent approach to designing and constructing buildings emphasizing the importance of life cycle cost, maintenance reliability, and unified architectural vernacular.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: N/A

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

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

John Branch, Physical Plant Interim Director
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Campus Design Standards

Original Implementation: July 21, 2009
Last Revision: July *26~~23~~*, 20*22~~19~~*

Purpose

This policy provides design and construction teams with general guidance regarding the university's intent to develop a consistent approach to designing and constructing buildings emphasizing the importance of life cycle cost, maintenance reliability, and unified architectural vernacular.

General

The university is committed to the highest level of building standards and recognizes that collaboration in design, construction and maintenance is essential to provide the appropriate level of those standards. The Physical Plant Department has the responsibility to oversee and manage design, construction, renovation and landscape projects. Project proposals will be guided by the campus master plan, strategic plan and campus space utilization strategy.

Each project's design, materials, and construction shall conform to the most current adopted code editions by the state of Texas, including but not limited to the International Building Codes, Life Safety Codes (adopted by the state fire marshal~~l~~), National Electric Code, applicable Texas Department of Licensing and Regulation statutes, ASHRAE (adopted by SECO), U.S. EPA regulations, Americans with Disabilities Act, Texas Accessibility Standards, the Fair Housing Act, Texas Building Energy Code, and all applicable laws of the United State and the state of Texas.

SFA Physical Plant Department maintains a set of Design and Building Standards as a guidance for design and construction professionals for all phases of projects. The guidelines serve as a reference and are not intended to replace applicable codes.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Fire and Life Safety

Policy Number: 13.24

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

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

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

Purpose of Policy (what does it do): The purpose of this policy is to aid in protecting the physical, human, and fiscal resources of the university. The Department of Environmental Health, Safety, and Risk Management (EHSRM) has the primary responsibility to establish and enforce procedures that ensure university compliance with fire and life safety guidelines.

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: N/A

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Jeremy Higgins, Director of Environmental Health, Safety, and Risk Management
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Fire and Life Safety

Original Implementation: July 16, 2013
Last Revision: July *26~~23~~*, 202*2~~19~~*

Purpose

The purpose of this policy is to aid in protecting the physical, human, and fiscal resources of the university. The Department of Environmental Health, Safety, and Risk Management (EHSRM) has the primary responsibility to establish and enforce procedures that ensure university compliance with fire and life safety guidelines.

General

Fire prevention is an important component of the university's fire safety program and being proactive against any potential fire and life safety hazards offers the greatest protection against injury or property loss. The university's fire and life safety program is designed to prevent or reduce property loss and injury from fire and explosions arising from storage, handling, and use of flammable and combustible substances, materials, and devices. The fire and life safety procedures available on the EHSRM website (https://www.sfasu.edu/safety) are essential in promoting fire and life safety and enhancing university compliance with applicable codes and regulations.

The university's fire and life safety program will comply with the NFPA 1 Fire Code, NFPA 101 Life Safety Code, and SFA's fire and life safety procedures while cooperating with the local fire department to ensure fire and life safety procedures comply with local requirements. Compliance with state and local requirements for accessibility to facilities, compatibility of equipment, adequacy of fire suppression water supplies and hydrants is necessary for the safety of responding firefighters and preservation of state property.

EHSRM Responsibilities

The director of EHSRM (or designee) has primary responsibility to administer and oversee compliance with the university's fire and life safety program. Duties of EHSRM include:

a) Inspecting university buildings and property for fire safety hazards, risks, or in response to a notice of a possible violation. In carrying out this duty, the EHSRM safety officer or representative shall have the authority to enter any university building, structure, room, office or laboratory (university employees may accompany the EHSRM safety officer on an inspection of their area);
b) Recommending preventative and corrective action and working with university departments to assure appropriate action is taken;
c) Establishing and coordinating fire safety training programs (ex: fire drills) to comply with regulatory requirements or upon request of department heads;
d) Serving as the official university contact with state and local fire marshals and other state agencies regarding fire safety;

e) Preparing mandated reports and compiling and disseminating data related to the fire safety program;
f) Communicating local, state, and national fire safety requirements to university officials;
g) Maintaining records related to the fire safety program in accordance with the record retention schedule of the university and the state of Texas;
h) Serving as an advisor for the university departments on fire safety issues;
i) Serving as the Authority Having Jurisdiction (AHJ) for fire safety codes and standards;
j) Investigating all fires occurring on university property;
k) Working closely with the local fire department, police department, and other emergency response agencies to assure they are informed about the campus so as to be prepared in case of an emergency; and
l) Approving waivers of university fire and life safety policies and procedures.

Waivers

The director of EHSRM is responsible for granting waivers to university fire and safety policies and procedures. Waivers may be granted on a case-by-case basis or as a blanket approval which applies to a specific type of event, function, or use.

Policy Compliance

It is imperative that SFA employees comply with federal, state, and local environmental health, safety, and risk management legislation, and relevant government fire and life safety codes and regulations. In addition, it is essential that employees observe industry best practices and comply with SFA safety policies, and procedures. Non-compliance can result in sanctions against the university, as well as posing serious risks to students, employees, visitors, and university property. Disciplinary action may be taken against university students and employees who do not comply with this policy and associated regulations. Offending materials and substances may be confiscated permanently for further protection of the surrounding environment.

Cross Reference: Health and Safety (13.10); Risk Management (13.19); National Fire Protection Association *(nfpa.org)*; Texas State Fire Marshal *(tdi.texas.gov)*

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Juanita Curry Boynton House

Policy Number: 16.32

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

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

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

Purpose of Policy (what does it do): This policy affirms that the Juanita Curry Boynton House (Boynton House) serves as a university event space and as the residence of the university president. It prescribes responsibility for the university property used and/or stored at the facility and inventory management procedures; it officially designates event and residential space and the process for making decisions concerning renovations and décor.

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:

Judi Kruwell, Associate Vice President of Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Juanita Curry Boynton House

Original Implementation: July 23, 2019
Last Revision: *July 26, 2022* ~~None~~

Purpose

This policy affirms that the Juanita Curry Boynton House (Boynton House) serves as a university event space and as the residence of the university president. It prescribes responsibility for the university property used and/or stored at the facility and inventory management procedures; it officially designates event and residential space and the process for making decisions concerning renovations and décor.

Property

The president is designated as the property custodian for all university property located at the Juanita Curry Boynton House and grounds. The president is responsible for maintaining an accurate and current inventory, documented by photographs, of all university property located at the Boynton House in the Juanita Curry Boynton House property log. The updated log will be provided by the Office of the President to the director of procurement and *business*~~property~~ services*/HUB coordinator* and the chief audit executive on an annual basis coinciding with the annual property inventory audit.

The Department of Procurement and *Business*~~Property~~ Services is responsible for conducting a periodic property inventory audit in accordance with policy 17.14, Property Inventory and Management. In addition, during the periodic inventory, the Department of Procurement and *Business*~~Property~~ Services will *select and* spot check items on the Juanita Curry Boynton House property log. The Department of Audit Services may audit any and all property as considered necessary.

Space Allocation

The Juanita Curry Boynton House serves as a dual-use facility; the facility serves as both an event/hosting space for the university and as a personal residence of the president. The following prescribes the nature of the various spaces within the facility:

University Event Space

- Formal Living Room and Main Foyer
- Commercial Kitchen
- Dish Storage Room

- Formal Dining Room
- Guest Bathroom
- Outdoor areas

Hybrid Space

- East Wing Room
- Bar

Residential Space

- Master Bedroom/Bathroom
- Upstairs Rooms 1-4
- Residential Kitchen
- Den/TV Room

Notwithstanding these allocations, the president is not restricted to use solely of the residential space; rather, the president may make use of the entire facility, subject to any restrictions provided in this policy.

Renovation, Furnishing, and Décor

Any decisions regarding renovation, furnishing, and décor will be brought before the Juanita Curry Boynton House committee. This committee shall consist of the following individuals: the chair of the Board of Regents (or designee), the vice president for university advancement, the director of the physical plant department, a representative from Interior Design program in the School of Human Sciences, the chief audit executive (ex officio), and the general counsel (ex officio). The chair of the Board of Regents (or designee) will serve as chair of this committee. The committee may designate additional individuals to advise it as desired.

The renovation, furnishing, and décor of university event space and hybrid space is within the sole purview of the Juanita Curry Boynton House committee. For hybrid space, the committee will solicit and consider input from the president.

Furnishing and décor of residential space is the sole purview of the president. Any request for renovation, including but not limited to construction, space modification, and paint and/or wallpaper, will be submitted to the Juanita Curry Boynton House committee for approval.

All university policies and procedures apply, including but not limited to those regarding procurement and establishment of a budget.

Cross Reference: Property Inventory and Management (17.14)

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: Juanita Curry Boynton House Property Log

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Norton HPE Complex

Policy Number: 16.18

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 Acacdemic Affairs and Vice President of Student Affairs

Purpose of Policy (what does it do): Policy discusses use of equipment and grounds for HPE and Campus Rec.

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: Minor changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Norton HPE Complex

Original Implementation: Summer, 1975
Last Revision: ~~January 29, 2019~~*July 26, 2022*

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

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

Facility Usage

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

Non-SFA groups may rent the facility in accordance with Policy 16.33.

The facility may be used during emergency operations (i.e. evacuation shelter) when deemed necessary by the vice president ~~for university~~*of student* affairs *or their designee*. During such use, ~~University~~ *Student* Affairs staff will be responsible for facility management. Every effort will be made to minimize the impact on academic classes scheduled in the HPE Complex.

Priority of Use/Scheduling

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

HPE Weight Room	12 am – 6 am	Campus Recreation
	6 am - Noon	Kinesiology & Health Science

	Noon – 1 pm	Campus Recreation
	1 pm – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Racquetball	12 am – 8 am	Campus Recreation
	8 am – Noon	Kinesiology & Health Science
	Noon – 1 pm	-Campus Recreation
	1 pm – 4pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Indoor Pool	12 am – 8 am	Campus Recreation
	8 am – Noon	Kinesiology & Health Science
	Noon – 1 pm	Campus Recreation
	1 pm – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Big Gym	12 am – 6 am	Campus Recreation
	6 am – Noon	Kinesiology & Health Science
	Noon – 1 pm	Campus Recreation
	1 pm – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE Gymnastics Room	12 am – 6 am	Campus Recreation
	6 am – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
HPE/Shelton Classrooms and Labs	12 am – 12 am	Kinesiology & Health Science
	Weekends	Kinesiology & Health Science
Shelton Gym	12 am – 6 am	Campus Recreation
	6 am – *2:30*~~4~~ pm	Kinesiology & Health Science
	2:30~~4~~ pm – ~~*10*~~*7 10* pm	Athletic Department *(In-season volleyball priority*~~*only*~~*)/Campus Recreation*
	10~~*7*~~ pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
	Saturdays-10am-4pm	*Athletics (In-season volleyball priority*~~*only*~~*)/Campus Recreation*

Intramural Fields	12 am – 8 am	Campus Recreation
	8 am – 4 pm	Kinesiology & Health Science
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation
Tennis Courts	12 am – 8 am	Campus Recreation
	8 am – 4 pm	Kinesiology & Health Science
	~~4 pm 7 pm~~*All day/night (24/7)*	Athletic Department (Courts #5-8 & 11-14 only)
	4 pm – 12 am	Campus Recreation
	Weekends	Campus Recreation

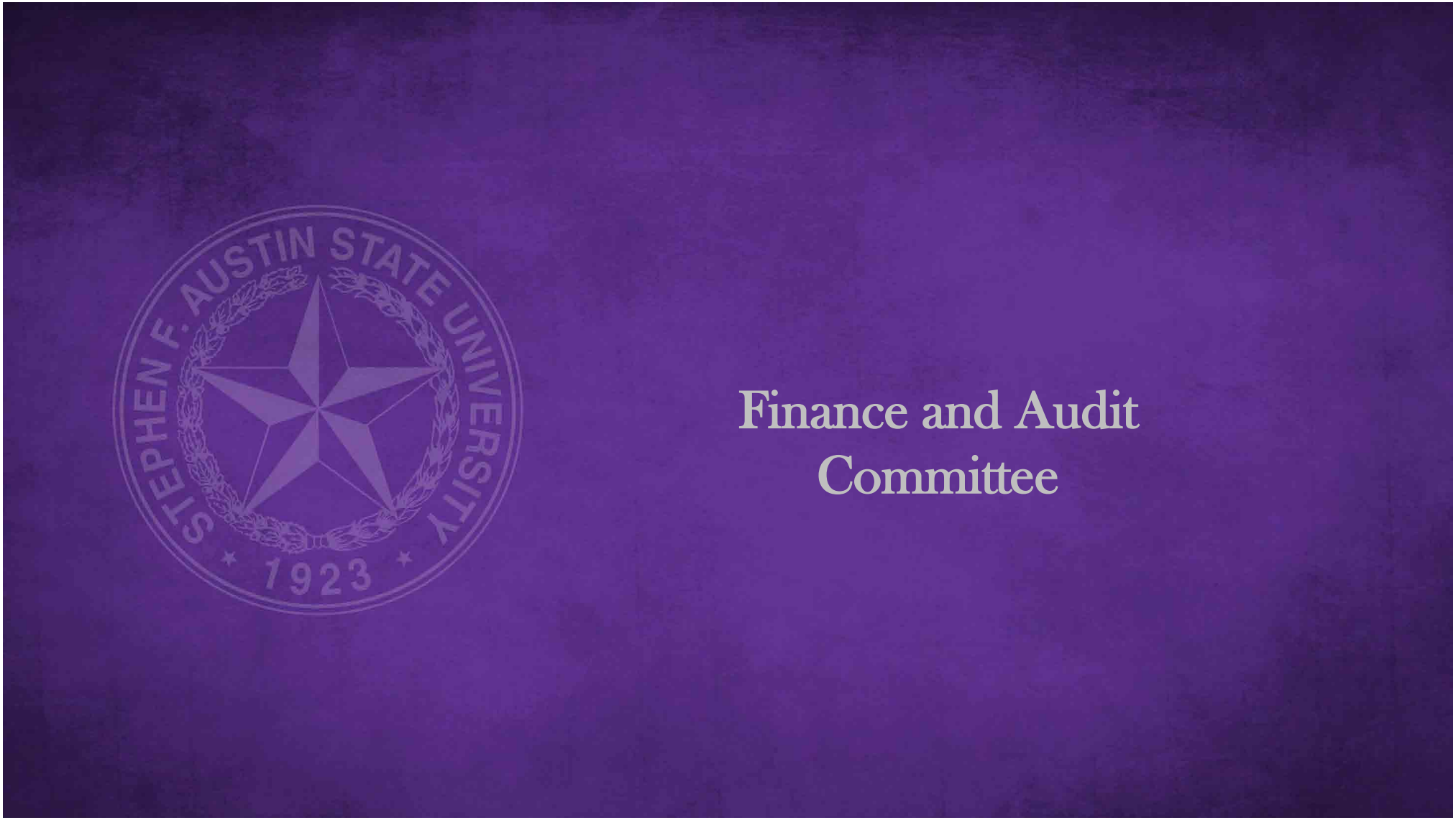
Cross Reference: Use of University Facilities (16.33)

Responsible for Implementation: Provost and *Executive* Vice President for Academic Affairs; Vice President ~~for~~ *of* ~~University~~ *Student* Affairs*; Director of Intercollegiate Athletics*

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

Forms: None

Board Committee Assignment: Building and Grounds


STEPHEN F. AUSTIN STATE UNIVERSITY
1923
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:

Information Technology Follow-Up Audit
External Information Technology Follow-Up Audit
Procurement Card Audit
Contract Management and Procurement Audit
Coin Collection Inventory
Juanita Curry Boynton House Inventory
External Quality Assurance Review
Update on Audit Plan

Recommendation:

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

ANNUAL AUDIT PLAN FOR 2022-2023

Explanation:

According to the *Board Rules and Regulations*, the chief audit executive shall annually submit information on the annual audit plan, work schedule and staffing plan to the president for review and to the Board of Regents for their approval.

Recommendation:

Pending consideration and recommendation by the Finance and Audit Committee that the annual audit plan be approved as presented.

RESOLUTION FOR 2019A AND 2019B UNSPENT BOND PROCEEDS

Explanation:

The Board of Regents of Stephen F. Austin State University on February 6, 2019 issued its Revenue Financing System Bonds Series 2019A and Revenue Financing System Bonds Taxable Series 2019B to finance the acquisition, purchase, construction, improvement, renovation, enlargement or equipment of property, buildings, structures, facilities, roads or related infrastructure of University projects. With the March 2020 coronavirus pandemic, on campus operations were ceased for a period of time which severely impacted the university. As a result, the use of the Series 2019A unspent bond proceeds for the Residence Hall and Series 2019B unspent bond proceeds for the Dining Hall Facility were reevaluated by administration. The University's Bond Counsel drafted A Resolution Designating and Confirming Projects For Expenditure Of Unspent Bond Funds From The Board's Revenue Financing System Bonds, Series 2019A And Taxable Series 2019B; Authorizing Other Matters Incident And Related Thereto; And Providing An Effective Date as shown in the Appendix.

Recommendation:

The administration recommends adoption of A Resolution Designating and Confirming Projects For Expenditure Of Unspent Bond Funds From The Board's Revenue Financing System Bonds, Series 2019A And Taxable Series 2019B; Authorizing Other Matters Incident And Related Thereto as presented in the Appendix.

A RESOLUTION DESIGNATING AND CONFIRMING PROJECTS FOR EXPENDITURE OF UNSPENT BOND FUNDS FROM THE BOARD'S REVENUE FINANCING SYSTEM BONDS, SERIES 2019A AND TAXABLE SERIES 2019B; AUTHORIZING OTHER MATTERS INCIDENT AND RELATED THERETO; AND PROVIDING AN EFFECTIVE DATE

WHEREAS, the Board of Regents (the "Board") of Stephen F. Austin State University (the "University") on February 6, 2019 issued its Revenue Financing System Bonds, Series 2019A (the "Series 2019A Bonds") and Revenue Financing System Bonds, Taxable Series 2019B (the "Taxable Series 2019B Bonds") pursuant to the terms and conditions provided in the "Resolution Authorizing the Issuance of One or More Series of Board of Regents of Stephen F. Austin State University Revenue Financing System Revenue Bonds; Providing for the Security for and Payment of Said Bonds; Establishing Procedures for Selling and Delivering the Bonds; and Approving and Authorizing Instruments and Procedures Relating Thereto" adopted by the Board on October 29, 2018 (the "Bond Resolution"); and

WHEREAS, the Series 2019A Bonds were issued to finance the acquisition, purchase, construction, improvement, renovation, enlargement or equipment of property, buildings, structures, facilities, roads or related infrastructure including the (a) Welcome Center and Student Support Services One Stop Shop, (b) Basketball Practice Facility, (c) Fine Arts Expansion Initiative, (d) Residence Hall and (e) costs of issuing the Series 2019A Bonds; and

WHEREAS, pursuant to Board Order 20-09 approved at the October 27-28, 2019, Board meeting, the Board approved the College of Fine Arts Expansion Project scope to include the School of Art's filmmaking program, the Kinesiology dance program and renovation of Turner Auditorium and increased the budget for such project, in part, by allocating approximately $13 million of the Series 2019A Bond proceeds initially set aside for the construction of a welcome center/one stop shop and deferred construction of such welcome center project; and

WHEREAS, the Taxable Series 2019B Bonds were issued to finance the acquisition, purchase, construction, improvement, renovation, enlargement or equipment of property, buildings, structures, facilities, roads or related infrastructure including a dining hall facility for the University and the Board is proceeding with the expenditure of the Taxable Series 2019B Bonds proceeds, including interest earnings, for the dining hall facility project; and

WHEREAS, in connection with the issuance of the Series 2019A Bonds and the Taxable Series 2019B Bonds, the University procured architects, contractors and other consultants that began planning and designing the Basketball Practice Facility, the Fine Arts Expansion Initiative and the Residence Hall being financed with the Series 2019A Bonds proceeds and the Dining Hall being financed with the Taxable Series 2019B Bonds, respectively; and

WHEREAS, in March 2020 the World Health Organization and the President of the United States separately declared the outbreak of a respiratory disease caused by a novel coronavirus ("COVID-19") to be a public health emergency. On March 13, 2020, the Governor of Texas declared a state of emergency for all counties in the State of Texas because of the effects of COVID-19. Subsequently, in response to a rise in COVID-19 infections in the State,

the Governor issued a number of executive orders intended to help limit the spread of COVID-19 and mitigate injury and the loss of life, including limitations imposed on business operations, social gatherings and other activities; and

WHEREAS, in response to the Governor's actions the University ceased on campus operations and all classes were transitioned to online delivery. Non-essential personnel worked remotely until July 2020. The University's auxiliary functions including residence halls and dining were severely impacted by the loss of housing and dining revenue. As a residential campus, the University requires students to live on campus until completion of 60 hours of undergraduate coursework. The on campus requirement was suspended for fall 2020 and spring 2021 and therefore the University suspended any further action related to the planning, design and construction of the new Residence Hall and Dining Hall; and

WHEREAS, as a result of the impact of COVID-19 and the decline in University revenues, Administration is recommending the Board take action to designate new projects set forth in "Exhibit A" attached hereto for the expenditure of all the remaining unspent and unencumbered Series 2019A Bond proceeds, including interest earnings (which for informational purposes was approximately $23,129,518.35 as of June 1, 2022), originally programmed for the new Residence Hall; and

WHEREAS, the Board hereby finds and determines that the adoption of this Resolution is in the best interests of the University; now, therefore,

BE IT RESOLVED BY THE BOARD OF REGENTS OF STEPHEN F. AUSTIN STATE UNIVERSITY THAT:

SECTION 1: Due to the effects of the COVID-19 pandemic, the Board hereby abandons construction of the Residence Hall as originally planned and further authorizes the expenditure of all remaining Series 2019A Bonds proceeds, including interest earnings, for the designated projects set forth in "Exhibit A" attached hereto.

SECTION 2: The Board hereby confirms proceeding with the dining hall facility and the expenditure of the Taxable Series 2019B Bond proceeds, including interest earnings, for such dining hall facility.

SECTION 3: This Resolution may be relied upon by the appropriate officials at the and establishes compliance by the Board with the requirements of Texas law and the Bond Resolution.

SECTION 4: The recitals contained in the preamble hereof are hereby found to be true, and such recitals are hereby made a part of this Resolution for all purposes and are adopted as a part of the judgment and findings of the Board.

SECTION 5: All resolutions, or parts thereof, which are in conflict or inconsistent with any provision of this Resolution are hereby repealed to the extent of such conflict, and the provisions of this Resolution shall be and remain controlling as to the matters resolved herein.

SECTION 6: This Resolution shall be construed and enforced in accordance with the laws of the State of Texas and the United States of America.

SECTION 7: If any provision of this Resolution or the application thereof to any person or circumstance shall be held to be invalid, the remainder of this Resolution and the application of such provision to other persons and circumstances shall nevertheless be valid, and the Board hereby declares that this Resolution would have been enacted without such invalid provision.

SECTION 8: It is officially found, determined, and declared that the meeting at which this Resolution is adopted was open to the public and public notice of the time, place, and subject matter of the public business to be considered at such meeting, including this Resolution, was given, all as required by Chapter 551, as amended, Texas Government Code.

SECTION 9: This Resolution shall be in force and effect from and after its final passage, and it is so resolved.

EXECUTED this the ____ day of _____, 2022.

_____
Chair, Board of Regents

_____
Secretary, Board of Regents

EXHIBIT A

The acquisition, purchase, construction, improvement, renovation, demolition, enlargement or equipment of property, buildings, structures, facilities, roads or related infrastructure for the following projects:

(1) Residence halls deferred maintenance, including demolishing certain residence halls;
(2) Electric grid analysis;
(3) Academic buildings and facilities deferred maintenance; and
(4) Auxiliary buildings and facilities deferred maintenance.

DINING HALL FACILITY PROJECT BUDGET

Explanation:

With the Resolution Designating And Confirming Projects For Expenditure Of Unspent Bond Funds From The Board's Revenue Financing System Bonds, Series 2019A And Taxable Series 2019B; Authorizing Other Matters Incident and Related Thereto; And Providing An Effective Date, the board of regents next step is to approve project budgets in accordance with policy 1.4, Items Requiring Board of Regents Approval.

For the Taxable Bonds Series 2019B for the Dining Facility, the board of regents previously ratified a project budget in October 2021 for Dining Facilities expenditures in the amount of $194,444.05 through October 31, 2021.

The bond proceeds of $15,800,000 and interest earnings through May 31, 2022 in the amount of $533,832.78 less the project budget already approved in the amount of $194,444.05 provide a balance of $16,139,388.73 available for the Dining Facilities additional project budget.

In accordance with the university's Dining Services Agreement with Compass Group USA, Inc. (Chartwells), $6,355,000 is included in the agreement to be used for Dining Facilities. University representatives are currently in discussion with Chartwells and the university's architects for the best use and treatment of the $6,355,000.

Recommendation:

The administration recommends approval of the Dining Facilities additional project budget in the amount of $16,139,388.73 and authorization for the president to sign project-associated contracts and purchase orders in accordance with policy 1.4, Items Requiring Board of Regents Approval.

RESIDENCE HALLS, AUXILIARY, AND ACADEMIC DEFERRED MAINTENANCE AND IMPROVEMENTS PROJECT BUDGETS

Explanation:

With the Resolution Designating And Confirming Projects For Expenditure Of Unspent Bond Funds From The Board's Revenue Financing System Bonds, Series 2019A And Taxable Series 2019B; Authorizing Other Matters Incident and Related Thereto; And Providing An Effective Date agenda item, the Board of Regents next step is to approve project budgets in accordance with policy 1.4, Items Requiring Board of Regents Approval.

For the nontaxable Bonds Series 2019A for the Residence Halls, Auxiliary, and Academic Deferred Maintenance and Improvements Project Budgets, the board of regents previously ratified a project budget in October 2021 for Student Residential Facilities expenditures in the amount of $1,090,308.67 through October 31, 2021.

In January 2022, the board of regents approved an amount not to exceed $200,000 for a campus assessment. Actual expenditures including encumbrances for the campus assessment total $199,850.

The bond proceeds of $23,700,000 and interest earnings through May 31, 2022 in the amount of $719,677.02 less project budget approved in October 2021 in the amount of $1,090,308.67 provides a balance of $23,329,368.35 available for projects.

Anticipated use of the remaining funds includes Residence Halls and Auxiliary Deferred Maintenance and Improvements of $20,401,518.35; campus assessment authorized by the board of regents in January 2022 of $199,850; electric grid study of $158,000; Wright Music Building Roof Deferred Maintenance and Improvements of $500,000; Art Building HVAC Deferred Maintenance and Improvements of $1,400,000; and Health and Wellness Services Facility Deferred Maintenance and HVAC Improvements of $670,000.

For the Health and Wellness Services Facility, an additional $230,000 is allocated to the project in the 2022-23 institutional operating budget Higher Education Fund (HEF) allocation for a total project budget of $900,000.

Recommendation:

The administration recommends approval of the Residence Halls, Auxiliary, and Academic Deferred Maintenance Improvements additional project budgets as follows:

Project	Amount	Funding Source and Notes
Residence Halls and Auxiliary Deferred Maintenance and Improvements	$ 20,401,518.35	2019A Bond Proceeds and Interest
Campus Assessment	$ 199,850.00	2019A Bond Proceeds and Interest
Electric Grid Study	$ 158,000.00	2019A Bond Proceeds and Interest
Health and Wellness Services Facility Deferred Maintenance and HVAC Improvements	$ 900,000.00	2019A Bond Proceeds and Interest of $670,000 and FY 23 HEF of $230,000
Wright Music Building Roof Deferred Maintenance and Improvements	$ 500,000.00	2019A Bond Proceeds and Interest
Art Building HVAC Deferred Maintenance and Improvements	$ 1,400,000.00	2019A Bond Proceeds and Interest
Total Project Budgets	$ 23,559,368.35	Includes $230,000 HEF and is in addition to the project budget of $1,090,308.67 approved in October 2021

The administration recommends contracting for the Art Building HVAC Deferred Maintenance and Improvements with Johnson Controls, Inc. for an amount not to exceed $1,400,000 through The Interlocal Purchasing System (TIPS). The administration recommends authorization for the president to sign associated contracts and purchase orders for the projects in accordance with policy 1.4, Items Requiring Board of Regents Approval.

FISCAL YEAR 2022-2023 TUITION, FEES, WAIVERS AND EXEMPTIONS

Explanation:

Board of Regents policy 1.4, Items Requiring Board of Regents Approval states the following must be approved: Establishment (or change) of tuition, student fees, room and board fees, and all optional statutory tuition exemptions or waivers. Approval must be provided on no less than an annual basis, or when there is any change to the items listed.

A schedule of current tuition and fee items is listed as presented. The tables listed represent the charges for specific student classifications or cohorts:

a) Texas Resident Undergraduate Annual Fixed Price Plan (AFPP)

b) Texas Resident Graduate Annual Fixed Price Plan (AFPP)

c) Border State Tuition and Fee Plan

d) Non-Resident Tuition and Fee Plan

e) Texas Resident Undergraduate Guaranteed Price Plan (GPP)

f) Texas Resident Undergraduate Fixed Rate Tuition Plan (FRTP) for the FY2019 continuing cohort

g) Texas Resident Undergraduate Fixed Rate Tuition Plan (FRTP) for the FY2020 continuing cohort

h) ROTC Military Science Course(s) Rate Table

i) Dual Credit Rate (after Dual Credit exemption)

j) Out-of-State Fully Online Tuition and Fee Plan

k) RELLIS Program Rates

j) RN to BSN Program Rates

No changes to the current SFA tuition and fee rates are proposed for FY2023.

Other documents provided: 2021 Texas Public Higher Education almanac data of average tuition and fees by University; a listing of other student fees; and a summary of exemption and waiver programs authorized by the Texas Legislature and SFASU. While many exemptions and waivers are mandated for all public institutions, some programs are optional and implementation is left to the discretion of the governing board of the institution.

Recommendation:

The administration recommends approval of the tuition and fee rate schedules for the fiscal year 2022-2023.

The administration also recommends that the board affirm the university’s implementation of mandatory and optional exemptions and waivers for the fiscal year 2022-2023.

Fall 2021 (202210)
Texas Residents UG AFPP

Current Tuition and Fees

Num. of Hrs.	Tx Res	Designated Tuition	Univ Svc Fee	Stud. Svc.	Stud. Cntr.	Int'l Ed. Fee	Reg Records	Rec Sports Fee	Env Svc Fee	Diff Tui	Num. of Hrs.	Total Tx Res
										UG		Undergrad
1	$ 50.00	$ 204.00	$ 83.00	$ 13.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	1	$ **561.50**
2	$ 100.00	$ 408.00	$ 166.00	$ 27.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	2	$ **912.00**
3	$ 150.00	$ 762.00	$ 249.00	$ 40.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	3	$ **1,412.50**
4	$ 200.00	$ 614.50	$ 332.00	$ 54.00	$ 36.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	4	$ **1,412.50**
5	$ 250.00	$ 459.00	$ 415.00	$ 67.50	$ 45.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	5	$ **1,412.50**
6	$ 300.00	$ 1,524.00	$ 498.00	$ 81.00	$ 54.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	6	$ **2,633.00**
7	$ 350.00	$ 1,308.50	$ 581.00	$ 94.50	$ 63.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	7	$ **2,633.00**
8	$ 400.00	$ 1,153.00	$ 664.00	$ 108.00	$ 72.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	8	$ **2,633.00**
9	$ 450.00	$ 1,836.00	$ 747.00	$ 121.50	$ 81.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	9	$ **3,471.50**
10	$ 500.00	$ 2,040.00	$ 830.00	$ 135.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	10	$ **3,826.00**
11	$ 550.00	$ 2,244.00	$ 913.00	$ 148.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	11	$ **4,176.50**
12	$ 600.00	$ 3,221.00	$ 996.00	$ 162.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	12	$ **5,300.00**
13	$ 650.00	$ 3,074.50	$ 1,079.00	$ 175.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	13	$ **5,300.00**
14	$ 700.00	$ 3,074.00	$ 1,016.00	$ 189.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	14	$ **5,300.00**
15	$ 750.00	$ 3,074.00	$ 952.50	$ 202.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	15	$ **5,300.00**
16	$ 800.00	$ 3,074.00	$ 889.00	$ 216.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	16	$ **5,300.00**
17	$ 850.00	$ 3,074.00	$ 825.50	$ 229.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	17	$ **5,300.00**
18	$ 900.00	$ 3,074.00	$ 762.00	$ 243.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	18	$ **5,300.00**
19	$ 950.00	$ 3,074.00	$ 705.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	19	$ **5,300.00**
20	$ 1,000.00	$ 3,074.00	$ 655.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	20	$ **5,300.00**
21	$ 1,050.00	$ 3,074.00	$ 605.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	21	$ **5,300.00**

IMPORTANT: Texas Residents taking some or all on-line courses will be charged a $33 per credit hour Distance Learning fee up to $396 BUT Designated Tuition will be reduced by that same amount - STUDENTS TOTAL CHARGES WILL NOT CHANGE

Fall 2022 (202310)
Texas Residents GR AFPP

Current Tuition and Fees

Num. of Hrs.	Tx Res	Designated Tuition	Discretionary Graduate Rate	Univ Svc Fee	Stud. Svc.	Stud. Cntr.	Int'l Ed. Fee	Reg Records	Rec Sports Fee	Env Svc Fee	Diff Tui	Num. of Hrs.	Total Tx Res
	Please Note: Graduate Students are charged an additional $33 per credit hour for each on-line course up to $396										GR		GRAD
1	$ 50.00	$ 204.00	$ 30.00	$ 83.00	$ 13.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	75.00	1	$ **566.50**
2	$ 100.00	$ 408.00	$ 60.00	$ 166.00	$ 27.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	75.00	2	$ **947.00**
3	$ 150.00	$ 762.00	$ 90.00	$ 249.00	$ 40.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	75.00	3	$ **1,477.50**
4	$ 200.00	$ 614.50	$ 120.00	$ 332.00	$ 54.00	$ 36.00	$ 3.00	$ 8.00	$ 60.00	5.00	75.00	4	$ **1,507.50**
5	$ 250.00	$ 459.00	$ 150.00	$ 415.00	$ 67.50	$ 45.00	$ 3.00	$ 8.00	$ 60.00	5.00	75.00	5	$ **1,537.50**
6	$ 300.00	$ 1,524.00	$ 180.00	$ 498.00	$ 81.00	$ 54.00	$ 3.00	$ 8.00	$ 60.00	5.00	75.00	6	$ **2,788.00**
7	$ 350.00	$ 1,308.50	$ 210.00	$ 581.00	$ 94.50	$ 63.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	7	$ **2,818.00**
8	$ 400.00	$ 1,153.00	$ 240.00	$ 664.00	$ 108.00	$ 72.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	8	$ **2,848.00**
9	$ 450.00	$ 1,836.00	$ 270.00	$ 747.00	$ 121.50	$ 81.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	9	$ **3,716.50**
10	$ 500.00	$ 2,040.00	$ 300.00	$ 830.00	$ 135.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	10	$ **4,101.00**
11	$ 550.00	$ 2,244.00	$ 330.00	$ 913.00	$ 148.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	11	$ **4,481.50**
12	$ 600.00	$ 3,221.00	$ 360.00	$ 996.00	$ 162.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	12	$ **5,635.00**
13	$ 650.00	$ 3,074.50	$ 390.00	$ 1,079.00	$ 175.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	13	$ **5,665.00**
14	$ 700.00	$ 3,074.00	$ 420.00	$ 1,016.00	$ 189.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	14	$ **5,695.00**
15	$ 750.00	$ 3,074.00	$ 450.00	$ 952.50	$ 202.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	15	$ **5,725.00**
16	$ 800.00	$ 3,074.00	$ 480.00	$ 889.00	$ 216.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	16	$ **5,755.00**
17	$ 850.00	$ 3,074.00	$ 510.00	$ 825.50	$ 229.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	17	$ **5,785.00**
18	$ 900.00	$ 3,074.00	$ 540.00	$ 762.00	$ 243.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	18	$ **5,815.00**
19	$ 950.00	$ 3,074.00	$ 570.00	$ 705.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	19	$ **5,845.00**
20	$ 1,000.00	$ 3,074.00	$ 600.00	$ 655.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	20	$ **5,875.00**
21	$ 1,050.00	$ 3,074.00	$ 630.00	$ 605.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	75.00	21	$ **5,905.00**

BORDER STATE
Fall 202310 (202310)

Current Tuition and Fees

Num. of Hrs.	Tx Res	Border Res	Designated Tuition	Discretionary Graduate Rate	Univ Svs Fee	Stud. Svc.	Env Svc Advising	Fee Cntr.	Int'l Ed. Fee	Reg Records	Rec Sports Fee	Diff Tui UG	Diff Tui GR	Num. of Hrs.	Total - Non-Res	
Please Note: Border State Students are charged an additional $33 per credit hour for each on-line course up to $396												UG	GR		UG	GR
1	$ 50.00	$ 80.00	$ 204.00	$ 30.00	$ 83.00	$ 13.50	$ 5.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	$ 100.00	$ 75.00	1	$ 591.50	$ 596.50
2	$ 100.00	$ 160.00	$ 408.00	$ 60.00	$ 166.00	$ 27.00	$ 5.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	$ 100.00	$ 75.00	2	$ 972.00	$ 1,007.00
3	$ 150.00	$ 240.00	$ 762.00	$ 90.00	$ 249.00	$ 40.50	$ 5.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	$ 100.00	$ 75.00	3	$ 1,502.50	$ 1,567.50
4	$ 200.00	$ 320.00	$ 614.50	$ 120.00	$ 332.00	$ 54.00	$ 5.00	$ 36.00	$ 3.00	$ 8.00	$ 60.00	$ 100.00	$ 75.00	4	$ 1,532.50	$ 1,627.50
5	$ 250.00	$ 400.00	$ 459.00	$ 150.00	$ 415.00	$ 67.50	$ 5.00	$ 45.00	$ 3.00	$ 8.00	$ 60.00	$ 100.00	$ 75.00	5	$ 1,562.50	$ 1,687.50
6	$ 300.00	$ 480.00	$ 1,524.00	$ 180.00	$ 498.00	$ 81.00	$ 5.00	$ 54.00	$ 3.00	$ 8.00	$ 60.00	$ 100.00	$ 75.00	6	$ 2,813.00	$ 2,968.00
7	$ 350.00	$ 560.00	$ 1,308.50	$ 210.00	$ 581.00	$ 94.50	$ 5.00	$ 63.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	7	$ 2,843.00	$ 3,028.00
8	$ 400.00	$ 640.00	$ 1,153.00	$ 240.00	$ 664.00	$ 108.00	$ 5.00	$ 72.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	8	$ 2,873.00	$ 3,088.00
9	$ 450.00	$ 720.00	$ 1,836.00	$ 270.00	$ 747.00	$ 121.50	$ 5.00	$ 81.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	9	$ 3,741.50	$ 3,986.50
10	$ 500.00	$ 800.00	$ 2,040.00	$ 300.00	$ 830.00	$ 135.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	10	$ 4,126.00	$ 4,401.00
11	$ 550.00	$ 880.00	$ 2,244.00	$ 330.00	$ 913.00	$ 148.50	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	11	$ 4,506.50	$ 4,811.50
12	$ 600.00	$ 960.00	$ 3,221.00	$ 360.00	$ 996.00	$ 162.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	12	$ 5,660.00	$ 5,995.00
13	$ 650.00	$ 1,040.00	$ 3,074.50	$ 390.00	$ 1,079.00	$ 175.50	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	13	$ 5,690.00	$ 6,055.00
14	$ 700.00	$ 1,120.00	$ 3,074.00	$ 420.00	$ 1,016.00	$ 189.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	14	$ 5,720.00	$ 6,115.00
15	$ 750.00	$ 1,200.00	$ 3,074.00	$ 450.00	$ 952.50	$ 202.50	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	15	$ 5,750.00	$ 6,175.00
16	$ 800.00	$ 1,280.00	$ 3,074.00	$ 480.00	$ 889.00	$ 216.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	16	$ 5,780.00	$ 6,235.00
17	$ 850.00	$ 1,360.00	$ 3,074.00	$ 510.00	$ 825.50	$ 229.50	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	17	$ 5,810.00	$ 6,295.00
18	$ 900.00	$ 1,440.00	$ 3,074.00	$ 540.00	$ 762.00	$ 243.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	18	$ 5,840.00	$ 6,355.00
19	$ 950.00	$ 1,520.00	$ 3,074.00	$ 570.00	$ 705.00	$ 250.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	19	$ 5,870.00	$ 6,415.00
20	$ 1,000.00	$ 1,600.00	$ 3,074.00	$ 600.00	$ 655.00	$ 250.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	20	$ 5,900.00	$ 6,475.00
21	$ 1,050.00	$ 1,680.00	$ 3,074.00	$ 630.00	$ 605.00	$ 250.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	$ 100.00	$ 75.00	21	$ 5,930.00	$ 6,535.00

Non-Residents
Fall 2022 (202310)

Current Tuition and Fees

Num. of Hrs.	Tx Res	Non-Res Statutory	Designated Tuition	Discretionary Graduate Rate	Univ Svs Fee	Stud. Svc.	Env Svc Advising	Fee Cntr.	Int'l Ed. Fee	Reg Records	Rec Sports Fee	Diff Tui UG	Diff Tui GR	Num. of Hrs.	Total - Non-Res	
Note: Non-Resident Students will be charged an additional $33 per credit hour for each on-line course up to $396												*UG*	*GR*		**UG**	**GR**
1	$ 50.00	$ 458.00	$ 204.00	$ 30.00	$ 83.00	$ 13.50	$ 5.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	100.00	75.00	1	$ 969.50	$ 974.50
2	$ 100.00	$ 916.00	$ 408.00	$ 60.00	$ 166.00	$ 27.00	$ 5.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	100.00	75.00	2	$ 1,728.00	$ 1,763.00
3	$ 150.00	$ 1,374.00	$ 762.00	$ 90.00	$ 249.00	$ 40.50	$ 5.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	100.00	75.00	3	$ 2,636.50	$ 2,701.50
4	$ 200.00	$ 1,832.00	$ 614.50	$ 120.00	$ 332.00	$ 54.00	$ 5.00	$ 36.00	$ 3.00	$ 8.00	$ 60.00	100.00	75.00	4	$ 3,044.50	$ 3,139.50
5	$ 250.00	$ 2,290.00	$ 459.00	$ 150.00	$ 415.00	$ 67.50	$ 5.00	$ 45.00	$ 3.00	$ 8.00	$ 60.00	100.00	75.00	5	$ 3,452.50	$ 3,577.50
6	$ 300.00	$ 2,748.00	$ 1,524.00	$ 180.00	$ 498.00	$ 81.00	$ 5.00	$ 54.00	$ 3.00	$ 8.00	$ 60.00	100.00	75.00	6	$ 5,081.00	$ 5,236.00
7	$ 350.00	$ 3,206.00	$ 1,308.50	$ 210.00	$ 581.00	$ 94.50	$ 5.00	$ 63.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	7	$ 5,489.00	$ 5,674.00
8	$ 400.00	$ 3,664.00	$ 1,153.00	$ 240.00	$ 664.00	$ 108.00	$ 5.00	$ 72.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	8	$ 5,897.00	$ 6,112.00
9	$ 450.00	$ 4,122.00	$ 1,836.00	$ 270.00	$ 747.00	$ 121.50	$ 5.00	$ 81.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	9	$ 7,143.50	$ 7,388.50
10	$ 500.00	$ 4,580.00	$ 2,040.00	$ 300.00	$ 830.00	$ 135.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	10	$ 7,906.00	$ 8,181.00
11	$ 550.00	$ 5,038.00	$ 2,244.00	$ 330.00	$ 913.00	$ 148.50	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	11	$ 8,664.50	$ 8,969.50
12	$ 600.00	$ 5,496.00	$ 3,221.00	$ 360.00	$ 996.00	$ 162.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	12	$ 10,196.00	$ 10,531.00
13	$ 650.00	$ 5,954.00	$ 3,074.50	$ 390.00	$ 1,079.00	$ 175.50	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	13	$ 10,604.00	$ 10,969.00
14	$ 700.00	$ 6,412.00	$ 3,074.00	$ 420.00	$ 1,016.00	$ 189.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	14	$ 11,012.00	$ 11,407.00
15	$ 750.00	$ 6,870.00	$ 3,074.00	$ 450.00	$ 952.50	$ 202.50	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	15	$ 11,420.00	$ 11,845.00
16	$ 800.00	$ 7,328.00	$ 3,074.00	$ 480.00	$ 889.00	$ 216.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	16	$ 11,828.00	$ 12,283.00
17	$ 850.00	$ 7,786.00	$ 3,074.00	$ 510.00	$ 825.50	$ 229.50	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	17	$ 12,236.00	$ 12,721.00
18	$ 900.00	$ 8,244.00	$ 3,074.00	$ 540.00	$ 762.00	$ 243.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	18	$ 12,644.00	$ 13,159.00
19	$ 950.00	$ 8,702.00	$ 3,074.00	$ 570.00	$ 705.00	$ 250.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	19	$ 13,052.00	$ 13,597.00
20	$ 1,000.00	$ 9,160.00	$ 3,074.00	$ 600.00	$ 655.00	$ 250.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	20	$ 13,460.00	$ 14,035.00
21	$ 1,050.00	$ 9,618.00	$ 3,074.00	$ 630.00	$ 605.00	$ 250.00	$ 5.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	100.00	75.00	21	$ 13,868.00	$ 14,473.00

Texas Residents UG GPP FY 2021-2023
GUARANTEED PRICE PLAN

Current Tuition and Fees

Num. of Hrs.	Tx Res	Designated Tuition	Univ Svc Fee	Stud. Svc.	Stud. Cntr.	Int'l Ed. Fee	Reg Records	Rec Sports Fee	Env Svc Fee	Diff Tui	Num. of Hrs.	Total Tx Res
												Undergrad
1	$ 50.00	$ 255.00	$ 83.00	$ 13.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	1	$ 612.50
2	$ 100.00	$ 510.00	$ 166.00	$ 27.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	2	$ 1,014.00
3	$ 150.00	$ 765.00	$ 249.00	$ 40.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	3	$ 1,415.50
4	$ 200.00	$ 1,020.00	$ 332.00	$ 54.00	$ 36.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	4	$ 1,818.00
5	$ 250.00	$ 1,275.00	$ 415.00	$ 67.50	$ 45.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	5	$ 2,228.50
6	$ 300.00	$ 1,530.00	$ 498.00	$ 81.00	$ 54.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	6	$ 2,639.00
7	$ 350.00	$ 1,785.00	$ 581.00	$ 94.50	$ 63.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	7	$ 3,109.50
8	$ 400.00	$ 2,040.00	$ 664.00	$ 108.00	$ 72.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	8	$ 3,520.00
9	$ 450.00	$ 2,295.00	$ 747.00	$ 121.50	$ 81.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	9	$ 3,930.50
10	$ 500.00	$ 2,550.00	$ 830.00	$ 135.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	10	$ 4,336.00
11	$ 550.00	$ 2,805.00	$ 913.00	$ 148.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	11	$ 4,737.50
12	$ 600.00	$ 3,596.00	$ 996.00	$ 162.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	12	$ 5,675.00
13	$ 650.00	$ 3,449.50	$ 1,079.00	$ 175.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	13	$ 5,675.00
14	$ 700.00	$ 3,449.00	$ 1,016.00	$ 189.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	14	$ 5,675.00
15	$ 750.00	$ 3,449.00	$ 952.50	$ 202.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	15	$ 5,675.00
16	$ 800.00	$ 3,449.00	$ 889.00	$ 216.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	16	$ 5,675.00
17	$ 850.00	$ 3,449.00	$ 825.50	$ 229.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	17	$ 5,675.00
18	$ 900.00	$ 3,449.00	$ 762.00	$ 243.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	18	$ 5,675.00
19	$ 950.00	$ 3,449.00	$ 705.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	19	$ 5,675.00
20	$ 1,000.00	$ 3,449.00	$ 655.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	20	$ 5,675.00
21	$ 1,050.00	$ 3,449.00	$ 605.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	21	$ 5,675.00

IMPORTANT:
GPP Students taking some or all on-line courses will be charged $33 per credit hour for Distance Learning Fee but Designated Tuition will be reduced by that same amount - STUDENTS TOTAL CHARGE WILL NOT CHANGE

201910, 201920, 201930 FRTP (202310)
Texas Residents UG FRTP

Current Tuition and Fees

Num. of Hrs.	Tx Res	Designated Tuition	Univ Svc Fee	Stud. Svc.	Stud. Cntr.	Int'l Ed. Fee	Reg Records	Rec Sports Fee	Env Svc Fee	Diff Tui	Num. of Hrs.	Total Tx Res
Note: FRTP Students will be charged an additional $33 per credit hour for each on-line course										UG		Undergrad
1	$ 50.00	$ 226.00	$ 83.00	$ 13.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	1	$ **583.50**
2	$ 100.00	$ 452.00	$ 166.00	$ 27.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	2	$ **956.00**
3	$ 150.00	$ 678.00	$ 249.00	$ 40.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	3	$ **1,328.50**
4	$ 200.00	$ 904.00	$ 332.00	$ 54.00	$ 36.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	4	$ **1,702.00**
5	$ 250.00	$ 1,130.00	$ 415.00	$ 67.50	$ 45.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	5	$ **2,083.50**
6	$ 300.00	$ 1,356.00	$ 498.00	$ 81.00	$ 54.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	6	$ **2,465.00**
7	$ 350.00	$ 1,582.00	$ 581.00	$ 94.50	$ 63.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	7	$ **2,906.50**
8	$ 400.00	$ 1,808.00	$ 664.00	$ 108.00	$ 72.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	8	$ **3,288.00**
9	$ 450.00	$ 2,034.00	$ 747.00	$ 121.50	$ 81.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	9	$ **3,669.50**
10	$ 500.00	$ 2,260.00	$ 830.00	$ 135.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	10	$ **4,046.00**
11	$ 550.00	$ 2,486.00	$ 913.00	$ 148.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	11	$ **4,418.50**
12	$ 600.00	$ 2,712.00	$ 996.00	$ 162.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	12	$ **4,791.00**
13	$ 650.00	$ 2,938.00	$ 1,079.00	$ 175.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	13	$ **5,163.50**
14	$ 700.00	$ 3,164.00	$ 1,016.00	$ 189.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	14	$ **5,390.00**
15	$ 750.00	$ 3,390.00	$ 952.50	$ 202.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	15	$ **5,616.00**
16	$ 800.00	$ 3,616.00	$ 889.00	$ 216.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	16	$ **5,842.00**
17	$ 850.00	$ 3,616.00	$ 825.50	$ 229.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	17	$ **5,842.00**
18	$ 900.00	$ 3,616.00	$ 762.00	$ 243.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	18	$ **5,842.00**
19	$ 950.00	$ 3,616.00	$ 705.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	19	$ **5,842.00**
20	$ 1,000.00	$ 3,616.00	$ 655.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	20	$ **5,842.00**
21	$ 1,050.00	$ 3,616.00	$ 605.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	21	$ **5,842.00**

202010, 202020, 202030 FRTP (202310)
Texas Residents UG FRTP

Current Tuition and Fees

Num. of Hrs.	Tx Res	Designated Tuition	Univ Svc Fee	Stud. Svc.	Stud. Cntr.	Int'l Ed. Fee	Reg Records	Rec Sports Fee	Env Svc Fee	Diff Tui	Num. of Hrs.	Total Tx Res
Note: FRTP Students will be charged an additional $33 per credit hour for each on-line course										UG		Undergrad
1	$ 50.00	$ 233.00	$ 83.00	$ 13.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	1	$ **590.50**
2	$ 100.00	$ 466.00	$ 166.00	$ 27.00	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	2	$ **970.00**
3	$ 150.00	$ 699.00	$ 249.00	$ 40.50	$ 35.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	3	$ **1,349.50**
4	$ 200.00	$ 932.00	$ 332.00	$ 54.00	$ 36.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	4	$ **1,730.00**
5	$ 250.00	$ 1,165.00	$ 415.00	$ 67.50	$ 45.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	5	$ **2,118.50**
6	$ 300.00	$ 1,398.00	$ 498.00	$ 81.00	$ 54.00	$ 3.00	$ 8.00	$ 60.00	5.00	100.00	6	$ **2,507.00**
7	$ 350.00	$ 1,631.00	$ 581.00	$ 94.50	$ 63.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	7	$ **2,955.50**
8	$ 400.00	$ 1,864.00	$ 664.00	$ 108.00	$ 72.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	8	$ **3,344.00**
9	$ 450.00	$ 2,097.00	$ 747.00	$ 121.50	$ 81.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	9	$ **3,732.50**
10	$ 500.00	$ 2,330.00	$ 830.00	$ 135.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	10	$ **4,116.00**
11	$ 550.00	$ 2,563.00	$ 913.00	$ 148.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	11	$ **4,495.50**
12	$ 600.00	$ 2,796.00	$ 996.00	$ 162.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	12	$ **4,875.00**
13	$ 650.00	$ 3,029.00	$ 1,079.00	$ 175.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	13	$ **5,254.50**
14	$ 700.00	$ 3,262.00	$ 1,016.00	$ 189.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	14	$ **5,488.00**
15	$ 750.00	$ 3,495.00	$ 952.50	$ 202.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	15	$ **5,721.00**
16	$ 800.00	$ 3,728.00	$ 889.00	$ 216.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	16	$ **5,954.00**
17	$ 850.00	$ 3,728.00	$ 825.50	$ 229.50	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	17	$ **5,954.00**
18	$ 900.00	$ 3,728.00	$ 762.00	$ 243.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	18	$ **5,954.00**
19	$ 950.00	$ 3,728.00	$ 705.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	19	$ **5,954.00**
20	$ 1,000.00	$ 3,728.00	$ 655.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	20	$ **5,954.00**
21	$ 1,050.00	$ 3,728.00	$ 605.00	$ 250.00	$ 85.00	$ 3.00	$ 8.00	$ 120.00	5.00	100.00	21	$ **5,954.00**

ROTC (MILS) Military Science Course(s) Rate for FY 22-23					
Hour		**Statutory**		**Designated**	**Total**
1		50.00		207.00	**257.00**
2		100.00		414.00	**514.00**
3		150.00		621.00	**771.00**
4		200.00		828.00	**1,028.00**
5		250.00		1,035.00	**1,285.00**
6		300.00		1,242.00	**1,542.00**
7		350.00		1,449.00	**1,799.00**
8		400.00		1,656.00	**2,056.00**
9		450.00		1,863.00	**2,313.00**
10		500.00		2,070.00	**2,570.00**

Dual Credit Rate for FY 22-23

Hour	Statutory	Univ Svc Fee	Total
1	50.00	36.00	**86.00**
2	100.00	72.00	**172.00**
3	150.00	108.00	**258.00**
4	200.00	144.00	**344.00**
5	250.00	180.00	**430.00**
6	300.00	216.00	**516.00**
7	350.00	252.00	**602.00**
8	400.00	288.00	**688.00**
9	450.00	324.00	**774.00**
10	500.00	360.00	**860.00**

Current Tuition and Fees

Out of State Fully On-Line Grad student (Non-Resident Electronic Fee)

HOURS	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Diff Tuition - GR	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00	75.00
NR - OUT of State Electronic	120.00	240.00	360.00	480.00	600.00	720.00	840.00	960.00	1,080.00	1,200.00	1,320.00	1,440.00	1,560.00	1,680.00	1,800.00	1,920.00	2,040.00	2,160.00	2,280.00	2,400.00
Statutory Tuition - R	50.00	100.00	150.00	200.00	250.00	300.00	350.00	400.00	450.00	500.00	550.00	600.00	650.00	700.00	750.00	800.00	850.00	900.00	950.00	1,000.00
Designated Tuition	204.00	408.00	762.00	614.50	459.00	1,524.00	1,308.50	1,153.00	1,836.00	2,040.00	2,244.00	3,221.00	3,074.50	3,074.00	3,074.00	3,074.00	3,074.00	3,074.00	3,074.00	3,074.00
Univ Services Fee	83.00	166.00	249.00	332.00	415.00	498.00	581.00	664.00	747.00	830.00	913.00	996.00	1,079.00	1,016.00	952.50	889.00	825.50	762.00	705.00	655.00
Registration Fee	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00
Rec Sports Fee	60.00	60.00	60.00	60.00	60.00	60.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00
International Edu Fee	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00
Student Center Fee	35.00	35.00	35.00	36.00	45.00	54.00	63.00	72.00	81.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00
Student Service Fee	13.50	27.00	40.50	54.00	67.50	81.00	94.50	108.00	121.50	135.00	148.50	162.00	175.50	189.00	202.50	216.00	229.50	243.00	250.00	250.00
Env Services Fee	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
Distance Education Fee	33.00	66.00	99.00	132.00	165.00	198.00	231.00	264.00	297.00	330.00	363.00	396.00	396.00	396.00	396.00	396.00	396.00	396.00	396.00	396.00
Graduate Tuition	30.00	60.00	90.00	120.00	150.00	180.00	210.00	240.00	270.00	300.00	330.00	360.00	390.00	420.00	450.00	480.00	510.00	540.00	570.00	600.00
TOTAL	**719.50**	**1,253.00**	**1,936.50**	**2,119.50**	**2,302.50**	**3,706.00**	**3,889.00**	**4,072.00**	**5,093.50**	**5,631.00**	**6,164.50**	**7,471.00**	**7,621.00**	**7,771.00**	**7,921.00**	**8,071.00**	**8,221.00**	**8,371.00**	**8,521.00**	**8,671.00**

Out of State Fully On-Line UG student (Non-Resident Electronic Fee)

HOURS	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Diff Tuition - UG	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00
NR - OUT of State Electronic	120.00	240.00	360.00	480.00	600.00	720.00	840.00	960.00	1,080.00	1,200.00	1,320.00	1,440.00	1,560.00	1,680.00	1,800.00	1,920.00	2,040.00	2,160.00	2,280.00	2,400.00
Statutory Tuition - R-UG	50.00	100.00	150.00	200.00	250.00	300.00	350.00	400.00	450.00	500.00	550.00	600.00	650.00	700.00	750.00	800.00	850.00	900.00	950.00	1,000.00
Designated Tuition -R-UG	204.00	408.00	762.00	614.50	459.00	1,524.00	1,308.50	1,153.00	1,836.00	2,040.00	2,244.00	3,221.00	3,074.50	3,074.00	3,074.00	3,074.00	3,074.00	3,074.00	3,074.00	3,074.00
Univ Services Fee	83.00	166.00	249.00	332.00	415.00	498.00	581.00	664.00	747.00	830.00	913.00	996.00	1,079.00	1,016.00	952.50	889.00	825.50	762.00	705.00	655.00
Registration Fee	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00	8.00
Rec Sports Fee	60.00	60.00	60.00	60.00	60.00	60.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00	120.00
International Edu Fee	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00
Student Center Fee	35.00	35.00	35.00	36.00	45.00	54.00	63.00	72.00	81.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00	85.00
Student Service Fee	13.50	27.00	40.50	54.00	67.50	81.00	94.50	108.00	121.50	135.00	148.50	162.00	175.50	189.00	202.50	216.00	229.50	243.00	250.00	250.00
Env Services Fee	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
Distance Education Fee	33.00	66.00	99.00	132.00	165.00	198.00	231.00	264.00	297.00	330.00	363.00	396.00	396.00	396.00	396.00	396.00	396.00	396.00	396.00	396.00
TOTAL	**714.50**	**1,218.00**	**1,871.50**	**2,024.50**	**2,177.50**	**3,551.00**	**3,704.00**	**3,857.00**	**4,848.50**	**5,356.00**	**5,859.50**	**7,136.00**	**7,256.00**	**7,376.00**	**7,496.00**	**7,616.00**	**7,736.00**	**7,856.00**	**7,976.00**	**8,096.00**

RELLIS RATES - Resident

Hours	F60R	T00R	T05R	TDR1	Total
	96.50	50.00	168.50	100.00	415.00
1	96.50	50.00	168.50	100.00	415.00
2	193.00	100.00	337.00	100.00	730.00
3	289.50	150.00	505.50	100.00	1,045.00
4	386.00	200.00	674.00	100.00	1,360.00
5	482.50	250.00	842.50	100.00	1,675.00
6	579.00	300.00	1,011.00	100.00	1,990.00
7	675.50	350.00	1,179.50	100.00	2,305.00
8	772.00	400.00	1,348.00	100.00	2,620.00
9	868.50	450.00	1,516.50	100.00	2,935.00
10	965.00	500.00	1,685.00	100.00	3,250.00
11	1,061.50	550.00	1,853.50	100.00	3,565.00
12	1,158.00	600.00	2,022.00	100.00	3,880.00
13	1,254.50	650.00	2,190.50	100.00	4,195.00
14	1,351.00	700.00	2,359.00	100.00	4,510.00
15	1,447.50	750.00	2,527.50	100.00	4,825.00
16	1,544.00	800.00	2,696.00	100.00	5,140.00
17	1,640.50	850.00	2,864.50	100.00	5,455.00
18	1,737.00	900.00	3,033.00	100.00	5,770.00
19	1,833.50	950.00	3,201.50	100.00	6,085.00
20	1,930.00	1,000.00	3,370.00	100.00	6,400.00
21	2,026.50	1,050.00	3,538.50	100.00	6,715.00

RELLIS RATES - NonResident

Hours	F60R	T01R	T06R	TDR1	Total
	96.50	458.00	183.00	100.00	837.50
1	96.50	458.00	183.00	100.00	837.50
2	193.00	916.00	366.00	100.00	1,575.00
3	289.50	1,374.00	549.00	100.00	2,312.50
4	386.00	1,832.00	732.00	100.00	3,050.00
5	482.50	2,290.00	915.00	100.00	3,787.50
6	579.00	2,748.00	1,098.00	100.00	4,525.00
7	675.50	3,206.00	1,281.00	100.00	5,262.50
8	772.00	3,664.00	1,464.00	100.00	6,000.00
9	868.50	4,122.00	1,647.00	100.00	6,737.50
10	965.00	4,580.00	1,830.00	100.00	7,475.00
11	1,061.50	5,038.00	2,013.00	100.00	8,212.50
12	1,158.00	5,496.00	2,196.00	100.00	8,950.00
13	1,254.50	5,954.00	2,379.00	100.00	9,687.50
14	1,351.00	6,412.00	2,562.00	100.00	10,425.00
15	1,447.50	6,870.00	2,745.00	100.00	11,162.50
16	1,544.00	7,328.00	2,928.00	100.00	11,900.00
17	1,640.50	7,786.00	3,111.00	100.00	12,637.50
18	1,737.00	8,244.00	3,294.00	100.00	13,375.00
19	1,833.50	8,702.00	3,477.00	100.00	14,112.50
20	1,930.00	9,160.00	3,660.00	100.00	14,850.00
21	2,026.50	9,618.00	3,843.00	100.00	15,587.50

RN to BSN				
Hours	F60N	T30N	T31N	Total
1	83.00	50.00	134.74	267.74
2	166.00	100.00	269.48	535.48
3	249.00	150.00	404.22	803.22
4	332.00	200.00	538.96	1,070.96
5	415.00	250.00	673.70	1,338.70
6	498.00	300.00	808.44	1,606.44
7	581.00	350.00	943.18	1,874.18
8	664.00	400.00	1,077.92	2,141.92
9	747.00	450.00	1,212.66	2,409.66
10	830.00	500.00	1,347.40	2,677.40
11	913.00	550.00	1,482.14	2,945.14
12	996.00	600.00	1,616.88	3,212.88
13	1,079.00	650.00	1,751.62	3,480.62
14	1,162.00	700.00	1,886.36	3,748.36
15	1,245.00	750.00	2,021.10	4,016.10
16	1,328.00	800.00	2,155.84	4,283.84
17	1,411.00	850.00	2,290.58	4,551.58
18	1,494.00	900.00	2,425.32	4,819.32
19	1,577.00	950.00	2,560.06	5,087.06
20	1,660.00	1,000.00	2,694.80	5,354.80
21	1,743.00	1,050.00	2,829.54	5,622.54

2021 Texas Public Higher Education Almanac Data - Average Tuition and Fees by University

4-year public institution	Website	Accountability group	HS/HBCU status*	Average tuition & fees
The University of Texas at Dallas	www.ut	Emerging Research		$14,072
Texas A&M University at Galveston	www.ta	Master's		$12,192
University of North Texas	www.ur	Emerging Research	HS	$11,994
The University of Texas at Arlington	www.ut	Emerging Research	HS	$11,620
Texas Tech University	www.tt	Emerging Research	HS	$11,600
University of Houston	www.uh	Emerging Research	HS	$11,569
Texas State University	www.tx	Emerging Research	HS	$11,540
Texas A&M University	www.ta	Research		$11,404
Prairie View A&M University	www.pv	Comprehensive	HBCU	$11,099
Sam Houston State University	www.sh	Doctoral	HS	$10,756
Stephen F. Austin State University	www.sf	Comprehensive		$10,600
The University of Texas at San Antonio	www.ut	Emerging Research	HS	$10,600
The University of Texas at Austin	www.ut	Research		$10,582
Lamar University	www.la	Comprehensive		$10,463
Texas A&M University–Corpus Christi	www.ta	Doctoral	HS	$9,825
Texas A&M University–Commerce	www.ta	Doctoral		$9,820
Midwestern State University	www.m	Master's		$9,796
Texas A&M University–Kingsville	www.ta	Doctoral	HS	$9,694
Texas Woman's University	www.tw	Doctoral	HS	$9,630
Texas Southern University	www.ts	Doctoral	HBCU	$9,570
Tarleton State University	www.ta	Comprehensive		$9,529
Texas A&M International University	www.ta	Comprehensive	HS	$9,254
University of Houston–Clear Lake	www.uh	Master's	HS	$9,174
The University of Texas at Tyler	www.ut	Master's		$9,146
University of North Texas at Dallas	www.ur	Master's	HS	$9,140
West Texas A&M University	www.w	Comprehensive	HS	$9,040
Angelo State University	www.ar	Master's	HS	$9,010
The University of Texas Rio Grande Valley	www.ut	Doctoral	HS	$8,917
The University of Texas Permian Basin	www.ut	Master's	HS	$8,806
Sul Ross State University	www.su	Master's	HS	$8,776
The University of Texas at El Paso	www.ut	Emerging Research	HS	$8,652
University of Houston–Downtown	www.uh	Master's	HS	$8,604
University of Houston–Victoria	www.uh	Master's	HS	$8,544
Texas A&M University–Texarkana	www.ta	Master's		$8,449
Texas A&M University–San Antonio	www.ta	Master's	HS	$8,442
Texas A&M University–Central Texas	www.ta	Master's	HS	$6,483
Sul Ross State University Rio Grande College	www.su	Master's	HS	$5,833
Statewide				$9,844

* "HS" = Hispanic Serving. HS is defined as institutions with a fall headcount of 25% or more students who are Hispanic.

Fee Type	Statutory Authority	T/F Description	Last Approved by Board	Board Order	Current Rate
Additional Fees	TEC 54.5011	Convenience Fee (For use of Credit Card)	4/19/2011	11-21	2.75% min $3
Additional Fees	TEC 54.504	Distance Learning Fee	4/15/2014	14-22	$33/SCH - Beg 2020, this is reduced from Designated Tuition
Additional Fees	TEC 54.502	General Deposit	Pre-2000	Pre-2000	$100 refundable upon withdrawl or graduation
Additional Fees	TEC 54.503	Individual Instruction Fee	10/28/1986	86-148	Varies by course
Additional Fees	TEC 54.007	Installment Payment Plan Fee	7/20/2010	10-40	$25
Additional Fees	TEC 54.504	Late Add Fee	4/16/2002	02-05	$50 per SCH
Additional Fees	TEC 54.007	Late Installment Fee (renamed Late Payment Fee at July 2022 BOR meeting	7/28/2015	15-42	$25
Additional Fees	TEC 54.504	Late Registration Fee	4/19/2011	11-21	$25
Additional Fees	TEC 54.545	Out-of-State Electronic Fee	10/14/2004	05-05	Reduced tuition fee designed to make SFA's distance ed programs more competitive. $120/SCH
Additional Fees	TEC 54.505	Parking Permit	1/27/2021	21-84	Varies by type of permit
Additional Fees	TEC 54.504	Post Office Box Rental	Pre-2000	Pre-2000	$10/semester
Additional Fees	TEC 54.504	Reinstatement Fee	4/30/2001	01-67	$50 per SCH
Additional Fees	TEC 54.504	Returned Check Fee	7/8/2004	04-58	$30 per item
Additional Fees	TEC 54.504	Student Identification Card	3/20/2018	No Board Order	$6 initial ID; $15 replacement ID
Other Mandatory T/F	TEC 54.014	Excessive Undergraduate Credit Hours	1/31/2017	17-23	$200 per SCH
Other Mandatory T/F	TEC 54.014	3-Peat Tuition	1/31/2017	17-23	$200 per SCH

Exemptions & Waivers

Man/Opt	TEC, Sectin 54.2001	CITATION	TYPE	NAME	Status	Overview of What is Paid OR Exempted	Overview of Eligibility
M	Impacted	TEC 54.351	Exemption	Children of Disabled Firefighters/Law Enforcement Officers (Previously called Orphans of Public Employment)	Active	Tuition and fees (120 attempted hours or until student's 26th birthday)	Letter/certificate from the Coordinatinginating board as evidence to grant the exemption. Children only not spouse TEC 54.351 - maintain GPA, excessive hour limit. Children of eligible persons who have been killed in the line of duty prior to September 1, 2000, or who have been disabled in the line of duty. Apply
M	Impacted	TEC 54.355	Exemption	Children of Nurse Faculty	Active	Tuition and designated tuition - 10 semesters only	Must be 25 years or younger, Texas resident, does not already has degree, enroll at same college the parent is currently employed, letter form HR stating parent is full time employee, register for selective service or be exempt from requirement, parent must have mater's or doctoral and be employed fulltime. student shall maintain GPA, meet excessive hour rule.
M	Impacted	TEC 54.343	Exemption	Children of POWs & MIAs	Not Active	Tuition and fees	Children of POW's
M	Excluded	TEC 54.011	Exemption	Concurrent Enrollment	Not Active	Tuition and fees; less course fees, distance learning and dual credit tuition. This difference between school A and school B	enrolled in classes for which the college receives tax support, meets college's regular requirements, Apply at SFA Admissions office 468-2504. Enrolled at more than one Higher Ed school at the same time
M	Impacted	TEC.54.354	Exemption	Dependents of Deceased Public Servants	Active	Tuition, mandatory fees and textbooks. (200 hours or until bachelors degree) If the student is eligible to live in university housing, the university will also provide the student room and	Full time student, Student must be under 18 year of age at time of parent' s death. Certification from employer stating death in the line of duty and copy of death certificate. The public employee must have died in the performance of his/her duty on or after September 1, 2000 and student is a surviving spouse or
M	Impacted	TEC.54.352	Exemption	Disabled Peace Officers and Firefighters	Not Active	Tuition and required fees	If spaces is available, must be residents of Texas, permanently disabled as a result of injury suffered during performance of duty, no more than 12 semesters in unger grad work - Masters and Doctoral are not eligible.
M	Exempt	TEC.54.342	Exemption	Ex-Prisoners of War	Not Active	"tuition and required fees" includes tuition, service fees, lab fees, building use fees, and all other required fees except room, board, or clothing fees or deposits in the nature of security for the	"tuition and required fees" includes tuition, service fees, lab fees, building use fees, and all other required fees except room, board, or clothing fees or deposits in the nature of security for the return or proper care of property.(b) For each semester or summer session and for a total number of semester credit hours
M	Exempt	TEC 54.366	Exemption	Foster Care Aged Out Exemption	Active	Tuition and fees	Tuition Waiver from Texas Dept. of Family and Protective Services. Were NOT adopted before their 18th birthday
M	Exempt	TEC 54.367	Exemption	Foster Care (Adopted)	Active	Tuition and fees	Tuition Waiver Letter from Texas Dept. of family and protective services. Must maintain GPA and meet excessive hour requirements Adopted before they turned 18
M	Exempt	TEC 54.341 (a-2),(b)(1)	Exemption	Hazlewood - 100% Disabled Veteran-Spouse/Child	Active	Tuition and fees; less student service fee	Veteran must have a Home of Record or Place of Entry in TX, be honorably discharged and 100% disabled due to military conditions. Must be a biological child, adopted child, claimed as a dependent on taxes or be the veterans spouse, a TX resident and not be in excessive hours.

Exemptions & Waivers

Man/Opt	TEC, Sectin 54.2001	CITATION	TYPE	NAME	Status	Overview of What is Paid OR Exempted	Overview of Eligibility
M	Exempt	TEC 54.341 (a-2),(b)(1)	Exemption	Hazlewood - Deceased Veteran-Spouse/Child	Active	Tuition and fees; less student service fee	Veteran must have a Home of Record or Place of Entry in TX, be honorably discharged and deceased due to military conditions. Must be a biological child, adopted child, claimed as a dependent on taxes or be the veterans spouse, a TX resident and not be in excessive hours.
M	Impacted	TEC 54.341,(k)	Exemption	Hazlewood Dependents Legacy	Active	Tuition and fees; less student service fee	Veteran must have a Home of Record or Place of Entry in TX, served at least 181 active duty days, be honorably discharged, and be a TX resident. Must be a biological child, adopted child, or claimed as a dependent on taxes, a TX resident and not be in excessive hours and must have passing GPA.
M	Exempt	TEC 54.341, (a)	Exemption	Hazlewood Veteran	Active	Tuition and fess, less student service fee	Veteran must have a Home of Record or Place of Entry in TX, served at least 181 active duty days, be honorably discharged, and a TX resident, not be in excessive hours and must have passing GPA.
M	Impacted	TEC 54.364	Exemption	Hearing Impaired	Active	Tuition and fees	Must turn in a copy of Certified Disability. Must maintain GPA and meet excessive hour requirements
M	Impacted	TEC.54.345	Exemption	National Guard Waiver (Members of state Military Forces)	Not Active	Tuition up to 12 hours	Military shall certify (never been used)
M	Impacted	TEC 54.3531	Exemption	Peace Officers	Active	Tuition and Lab Fees	Courses for BA Degree only. Employed as a Peace Officer by the state of Texas. Undergraduate student. Enroll Fall 2011 or later. Meet GA requirements. Must apply for exemption at least 1 week before the last day to register. Must meet the excessive hour rule.
M	Impacted	TEC.54.344	Exemption	Performers of "Taps"	Not Active	$25 Exemption	Voucher from Student
M	Impacted	TEC 54.356	Exemption	Preceptor and their Children	Active	$500.00 tuition exemption per semester for 8 hours	Preceptor or Children of Preceptor 25 and under: Resident of Texas, Not have a degree. Meet GPA and excessive hour rule. Copy of parents preceptor agreement. See Business Office for more information on eligibility requirements.
M	Excluded	TEC 54.624	Exemption	Texas Tomorrow Fund Exemption	Active	Tuition and required fees in excess of the weighted average amount of tuition and required fees for all public senior colleges and universities	Student must contact provider to authorize SFA to bill/use their funds and turn in a copy of the card
M	Impacted	TEC 54.364	Exemption	Vision Impaired	Active	Tuition and fees	Must turn in a copy of Certified Disability. Must maintain GPA and meet excessive hour requirements
M	Exempt	TEC 54.233	Waiver	Academic Common Market	Not Active	In State Rate	The governing board of an institutin of higher education shall charge nonresident students participating in the Academic Common Market and enrolled in programs designated under Section 160.07 the same amount charged resident students in such programs.
M	Exempt	TEC 231(g)	Waiver	Border County/Parish	Not Active	In State Rate with governing board approval	With governing board approval, the nonresident tuition fee does not apply to a nonresident student who is a resident of a county or parish of Arkansas, Lousiana, New Mexico, or Oklahoma.

Exemptions & Waivers

Man/Opt	TEC, Sectin 54.2001	CITATION	TYPE	NAME	Status	Overview of What is Paid OR Exempted	Overview of Eligibility
M	Exempt	TEC 54.211	Waiver	College Teachers, Professors (and the spouse and children of such a teacher or professor)	Active	In State Rate	Employed at least hone-half time on a regular monthly salary basis by an institution of higher education.
M	Exempt	TEC.54.222	Waiver	Economic Developments	Not Active	Economic Rules for residency	Meet Economic Rules for residency
M	Exempt	TEC.54.206	Waiver	Foreign Service Officers	Not Active	In State Rate	A foreign service officer employed by the United States Department of State and enrolled in an institution of higher education is entitled to pay the tuition and fees at the rates provided for Texas residents if the person is assigned to an office of the department of state that is located in a foreign
M	Exempt	TEC.54.241,(b,c,f,g) (d,I,k)	Waiver	Military in Texas	Active	In State Rate	A person who is an officer, enlisted person, selectee, or draftee of the Army, Army Reserve, Army National Guard, Air National Guard, Air Force, Air Force Reserve, Navy, Navy Reserve, Marine Corps, Marine Corps Reserve, Coast Guard, or Coast Guard Reserve of the United States, who is assigned to duty in Texas,
M	Exempt	TEC.54.232	Waiver	NATO Members and Families	Not Active	In state Rate	A nonimmigrant alien who resides in this state in accordance with the Agreement between the Parties to the North Atlantic Treaty Regarding the Status of Their Forces (4 U.S.T. 1792) and the spouse or children of that alien are considered to be residents for tuition and fee purposes under this title.
M	Exempt	TEC.54.212	Waiver	Teaching and Research Assistants	Active	In state Rate	Teaching assistant or research assistant
M	Excluded	TEC 54.621	Waiver	Texas Tomorrow Fund Contract	Active	In state Rate for nonresident child of a parent who is a Texas resident when contract was purchased	Student must contact provider to authorize SFA to bill/use their funds and turn in a copy of the card
M	Impacted	TEC 54.353	Exemption	FireFighters taking Fire Science Courses	Active	Tuition and Lab Fees	Must be employed as a paid Firefighter and provide letter from supervisor, courses must be Fire Science Curriculum, college must receive tax support on the class, maintain GPA, excessive hour limit.
O	Exempt	TEC.54.216 B.O 21-35	Exemption	Dual Credit	Active	Per BO 21-35, Dual Credit Tuition and Fees are exempted except for $50 per semester credit hour for statutory tuition and $36 per semester credit hour for university services fee.	May waive all or part of the tuition and fees charged by the institution for a student enrolled in a course for which the student simultaneously receives credit toward high school requirements and a degree offered by the institution
O	Impacted	TEC.54.331	Exemption	Good Neighbor Program	Active	Tuition and Fees	Up to 235 non-residents from an eligible country, born in and are current residents of a nation of Western hemisphere other than Cuba or the US. Intend to return to country upon completion of program of study, are qualified for admission. Must maintain GPA and meet excessive hour rule. Cannot have another Waiver on account.
O	Impacted	TEC.54.301	Exemption	Highest Ranking HS (Valedictorian)	Active	Tuition during both semesters of the first school year immediately following graduation	Certificate from High School

Exemptions & Waivers

Man/Opt	TEC, Sectin 54.2001	CITATION	TYPE	NAME	Status	Overview of What is Paid OR Exempted	Overview of Eligibility
O	Excluded	TEC.54.0601	Exemption	Hundred (100) Mile	Active	Lower nonresident tuition rate.	Institution within 100 miles from the boundary of this state with another state may set a nonresident tuition rate that is lower than the nonresident tuition rate otherwise charged.
O	Impacted	TEC 54.365, (c)	Exemption	Senior Citizen 65+ for 6 hours free tution	Active	Tuition and designated tuition (6 hours)	Must maintain SAP and meet the excessive hour rule. Must be 65 or older. Student should contact the business office.
O	Exempt	TEC.54.213	Waiver	Competitive Scholarship	Active	In state rate	Nonresident students receiving a $1,000.00 or more in competative scholarships
O	Impacted	TEC.54.2031	Exemption	Combat Exemption	Not Active	Tuition is exempted	Dependent children of residents who are members of the Armed Forces and on combat duty - limit of 150 hours, must not be in default on loan and proof of combat duty
O	Impacted	TEC.54.261	Exemption	Designated Tuition Exemption	Not Active	All or part Tuition	A governing board may waive all or part of the tuition charged to a student under Section 54.0513 if it finds that the payment of such tuition would cause an undue economic hardship on the student.
O	Impacted	TEC.54.218	Exemption	Distance Learning Exemption from Fees	Not Active	Exempts Rec Sports Fee and Student Center	Student is enrolled in only Distance Ed Courses, and meets SB1210 requirements. Study Abroad students enrolled in Summer that last longer than four weeks
O	Impacted	TEC 54.363	Exemption	Educational Aide	Not Active	Tuition and fees other than class or laboratory fees.	Must be a resident of this state; be a school employee serving in any capacity; have worded as an educational aide for at least one school year during the five preceding that term or semester;
O	Impacted	TEC.54.217	Exemption	Fully Funded Courses	Not Active	Tuition and Fees	Students attending courses that are fully funded by federal or other sources
O	Excluded	TEC.54.5035,	Exemption	Governing Board Waivers	Not Active	Waive mandatory and discretionary fees	The governing board of an institution of higher education may waive a mandatory or discretionary fee for a student if the board determines that the student is not reasonably able to participate in or use the activity, service, or facility for which the fee is charged. The governing board must ensure that a waiver under this section does not result in the institution's inability to service a debt to which revenue from the fee is obligated or to support an activity, service, or facility for which the fee is charged.
O	Impacted	TEC.54.368	Exemption	Inter-Institutional Academic Programs	Not Active	Tuition and Fees	(1) "Interinstitutional academic program" means a program under which a student may, in accordance with a written agreement between an institution of higher education and one or more other institutions of higher education or private or independent institutions of higher education, take courses at each institution that is a party to the agreement as necessary to fulfill the program's degree or certificate requirements.
O	Impacted	TEC.54.225	Exemption	Non-Semester-Length Developmental Education Courses	Not Active	Tuition	The governing board of an institution of higher education may exempt from the payment of tuition authorized by this chapter a student who is participating in an approved non-semester-length developmental education intervention (including course-based, non-course-based, alternative-entry/exit, and other intensive developmental education activities).
O	Excluded	TEC.54.5025	Exemption	Prorated Fees for Term Length	Not Active	Prorated amount is set by BOR	Based on the length of the semester or term for which a student is enrolled, the governing board of an institution of higher education may prorate the amount of any fee charged to the student under this chapter.
O	Impacted	TEC 54.365,(b)	Exemption	Senior Citizen 65+ for Audit Hours	Not Active	Tuition and fees	If space is available.

Exemptions & Waivers

Man/Opt	TEC, Sectin 54.2001	CITATION	TYPE	NAME	Status	Overview of What is Paid OR Exempted	Overview of Eligibility
O	Impacted	TEC.54.263	Exemption	Senior Citizen Lowered Tuition 55+	Not Active	All or part Tuition and Fee's	(a) An institution of higher education may charge a student 55 years of age or older tuition and fees at rates that are lower than the rates otherwise provided by this chapter, under the condition that a student under 55 years of age will not be precluded from enrolling in a course for credit toward a degree or certificate. The institution may set additional qualifications that a student must meet to qualify for tuition and fees at rates set under this section and may set different rates for different programs, campuses, or courses. The institution may set rates under this section for resident students, nonresident students, or both, and may set different rates for resident students and nonresident students.
O	Impacted	TEC 54.262	Exemption	Student Services Fee	Not Active	Mandatory Fees	The governing board of an institution of higher education may waive all or part of any cumpulsory fee or fees authorized by Section 54.503 in the case of any student for whom the payment of the fee would cause an undue financial hardship, provided the number of the students to whom the waiver is granted for a semester or term does not exceed 10 percent of the institution's total enrollment for that semester or term. The board may limit accordingly the participation of a studet in the activities financed by the fee so waived.
O	Impacted	TEC.54.361	Exemption	TANF Exemption	Not Active	Tuition and Fees	A student is exempt from the payment of tuition and fees authorized by this chapter for the first academic year in which the student enrolls at an institution of higher education if the student:(1) graduated from a public high school in this state;(2) successfully completed the attendance requirements under Section 25.085;(3) during the student's last year of public high school in this state, was a dependent child receiving financial assistance under Chapter 31, Human Resources Code, for not less than six months;(4) is younger than 22 years of age on the date of enrollment;(5) enrolls at the institution as an undergraduate student not later than the second anniversary of the date of graduation from a public high school in this state;(6) has met the entrance examination requirements of the institution before the date of enrollment; and(7) is classified as a resident under Subchapter B.
O	Excluded	TEC.54.014,(f)	Exemption	Three-peat Penalty Hardship	Not Active	Waive 3-Peat Fee	(f) An institution of higher education may charge a resident undergraduate student tuition at a higher rate than the rate charged to other resident undergraduate students, not to exceed the rate charged to nonresident undergraduate students, for any course in which the student enrolls that is the same as or substantively identical to a course for which the student previously completed. The Texas Higher Education Coordinating Board shall adopt a rule that exempts a resident undergraduate student from this subsection if the student enrolls in a course that is the same as or substantially similar to a course that the student previously completed, solely as a result of a hardship or other good cause.

Exemptions & Waivers

Man/Opt	TEC, Sectin 54.2001	CITATION	TYPE	NAME	Status	Overview of What is Paid OR Exempted	Overview of Eligibility
O	Excluded	TEC.54.010	Exemption	Tuition Reduction for 15+ Hours	Not Active	Reduction in Tuition (set by BOR)	(1) offers the tuition reduction to the student as part of an institutional policy adopted by the board to:(A) increase the average semester credit hour course load of students enrolled at the institution; or(B) improve the retention and graduation rate of students enrolled at the institution; and(2) determines that the student is:(A) enrolled in, and making satisfactory progress toward completion of, a degree program offered at the institution; and (B) enrolled in at least 15 semester credit hours at the institution during the semester or term for which the reduction is offered.(b) The governing board may offer a tuition reduction under this section in a fixed dollar amount, a percentage amount, or any other manner that the board considers appropriate.(c) The amount of tuition reduction offered to a student under this section for a semester or term may not exceed the amount of tuition that would have been charged to the student under this chapter for enrollment in three semester credit hours during that semester or term.(d) For a tuition reduction offered to a student under this section, the governing board may prorate the amount of the reduction based on:(1) the number of semester credit hours in which the student is enrolled; or (2) the length of the semester or term for which the student is enrolled. (e) The governing board is not required to offer a tuition reduction under this section to all institutions of higher education under its governance or to all degree programs offered at an institution of higher education under its governance.
O	Exempt	TEC.54.251	Waiver	Nursing Graduate Students Planning to Teach	Not Active	In State Tuition	An institution of higher education may permit a registered nurse authorized to practice professional nursing in Texas to register by paying the tuition fees and other fees or charges required for Texas residents under Section 54.051, without regard to the length of time the registered nurse has resided in Texas, if the registered nurse:(1) is enrolled in a program designed to lead to a master's degree or other higher degree in nursing; and(2) intends to teach in a program in Texas designed to prepare students for licensure as registered nurses.
SFA		B.O. 16-28	Exemption	Educational Leadership	Active	Reduced Rate by waiving all fees and not charging the board designated graduate tuition.	Students enrolled in this program who met all entrance requirements would only be charged statutory tuition, designated tuition and course fees.
SFA		Policy 12.5	Exemption	LEAP - Employees	Active	Designated tuition and mandatory fees are exempted for eligible participants.	Lumberjack Educational Assistance Program
SFA		Policy 12.5	Exemption	LEAP - GRA and GTAs	Not Active	Designated tuition and mandatory fees are exempted for eligible participants.	Will be replaced FY2023 with scholarship program
SFA		Policy 12.5	Exemption	LEAP - Spouse/Dependents	Active	Designated tuition and mandatory fees are exempted for eligible participants.	Lumberjack Educational Assistance Program
SFA		-	Exemption	LEAP Retiree Employee	Active	Designated tuition and mandatory fees are exempted for eligible participants.	Lumberjack Educational Assistance Program
SFA		-	Exemption	LEAP Retiree Spouse/Dep	Active	Designated tuition and mandatory fees are exempted for eligible participants.	Lumberjack Educational Assistance Program

M Mandatory
O Optional

ADOPTION OF THE FISCAL YEAR 2022-23 INSTITUTIONAL OPERATING BUDGET

Explanation:

Texas Education Code (TEC) Title 3, Subtitle A, Chapter 51 states the following:

Sec. 51.0051. ANNUAL OPERATING BUDGETS. The governing board of each institution shall approve on or before September 1 of each year an itemized budget covering the operation of the institution for the fiscal year beginning on September 1 of each year. The budget shall be prepared within the limits of legislatively appropriated general revenue and estimated educational and general funds.

In addition, Board of Regents Rules state, "The president shall prepare and submit annually to the board at its April or July meeting, as specified each year by the board, a proposed budget for the operation of the institution for the next fiscal period."

The Stephen F. Austin State University proposed institutional operating budget for fiscal year (FY) 2022-23 is $270,020,925. SFA leadership prepared the FY 2022-23 budget based on SFA moving from COVID-19 pandemic recovery in FY 2021-22 to a more normalized state of operations in FY 2022-23. The institutional budget includes the Higher Education Fund (HEF) allocation.

Recommendation:

The administration recommends approval of the fiscal year 2022-23 annual institutional operating budget that totals $270,020,925 and the associated HEF allocation as presented.

Stephen F. Austin State University



Operating Budget Summary

Fiscal Year 2022-2023

Stephen F. Austin State University
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INTRODUCTION

The Stephen F. Austin State University (SFA) proposed operating budget for fiscal year (FY) 2023 is $270,020,925. The budget increased from the prior year by $8,001,507 or 3.05%. The increase is primarily due to the inclusion of funds that have not traditionally been reflected in the budget, along with an increase in auxiliary operations. SFA leadership prepared the FY 2023 budget with optimistic assumptions based on SFA moving from COVID-19 pandemic recovery in FY 2022 to a more normalized state of operations in FY 2023.

The largest expenditure item in the operating budget is salaries and benefits. The operating budget as presented does not include an increase to employee compensation; however, the Board of Regents (BOR) will consider a separate agenda item related to compensation.

The FY 2023 operating budget process started with work performed by the University Budget Council (UBC). Administration reviewed the priorities and allocations recommended by the UBC. The operating budget is the culmination of the efforts of the UBC, President's Cabinet, university department heads, and other employees with budget responsibilities.

BUDGET BASIS OF ACCOUNTING

The budget is prepared on a cash basis of accounting. With a change in the Vice President for Finance and Administration (VPFA) position as of April 18, 2022, an increased focus was placed on the differences in the operating budget and the annual financial report (AFR), which is prepared on an accrual basis of accounting.

For purposes of the operating budget, the following are examples of differences from the AFR:

- Budget revenues are considered earned and measurable in the FY.
- Budget expenditures are considered incurred in the FY.
- Capital expenditures are expensed as incurred.
- Depreciation expense is not included.
- Expenses that result in accrued liabilities that are non-cash are not included in the budget; examples include pension liability, other post-employment benefit (OPEB) liability, and compensated absences.
- Debt principal payments are expensed.

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BUDGET ASSUMPTIONS AND CONSIDERATIONS

As previously mentioned, SFA leadership was optimistic in preparing the operating budget. Some of the major assumptions and considerations are as follows:

Enrollment – Several methods were used to determine an enrollment estimate. An SFA team worked on a predictive model during FY 2022. The model considers admissions, enrollment, orientation, housing, and other factors to predict enrollment based on student types. The model results in an enrollment prediction that can be used to estimate tuition and fee revenue. The Budget Office also used a traditional method of estimating tuition revenues by analyzing current and historical data.

Enrollment projections as of May 26, 2022 included a decrease in headcount and a slight increase in semester credit hours (SCH). Graduate enrollment is expected to decrease; however, undergraduate freshman enrollment is expected to increase to offset the change.

Tuition and Fees –The operating budget is based on no change to tuition and fee rates. The assumption used in preparing the tuition and fee estimates for the operating budget is that enrollment overall will be flat in FY 2023 compared to FY 2022.

Housing and Dining – As a residential campus with a 60 hour on campus living requirement, the budget anticipates a return to more normal operations and an increase in students living on campus. In addition, the BOR authorized a 4% increase in room rates for FY 2023.

All Funds - An effort is made to enhance transparency and include funds in the budget that have not been included in previous years. Examples include 3-Peat tuition, grant funds, Hazlewood reimbursement, gift funds, and Higher Education Fund (HEF) carry forward from restricted fund balance.

Employees – The operating budget includes approximately 1321 full-time FTEs, 12.76 part-time FTEs, and 176 vacant FTE positions for employees.

Salary and Wages – The largest expenditure item in the operating budget is salaries and benefits. As a budget control, employee benefits are pooled in the operating budget, and salary savings will be pooled during the year.

Benefits – Benefits are budgeted at 24% in FY 2023 compared to 29% for FY 2022. The decrease is a result of utilizing benefits reimbursement; vacant position benefit savings; and pooling of employee benefits.

LEGISLATIVE APPROPRIATIONS

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Fiscal Year 2023 is the final year of the 2022-2023 biennium. SFA is budgeted to receive $39,149,878 in State General Revenue appropriations.

Revenue	2022	2023
Instruction/Operations		
Operations Support	22,769,034.00	22,768,136.00
Teaching Experience Supplement	1,202,926.00	1,202,906.00
Infrastructure Support		
E&G Space Support	4,824,597.00	4,824,424.00
Tuition Revenue Bond Retirement	5,383,800.00	5,382,750.00
Non-Formula Support		
Rural Nursing Initiative	270,370.00	270,370.00
Center for Applied Studies in Forestry	377,523.00	377,523.00
Center for Applied Research and Rural Innovation (CARRI)	1,000,000.00	1,000,000.00
Stone Fort Museum and Research Center of East Texas	71,959.00	71,959.00
Soil Plant and Water Analysis Laboratory	41,048.00	41,048.00
Applied Poultry Studies and Research	38,714.00	38,714.00
Institutional Enhancement	3,028,794.00	3,028,794.00
Research Funds		
Comprehensive Research Fund	143,254.00	143,254.00
Total State Appropriations	**39,152,019.00**	**39,149,878.00**

The 88th Legislative session will begin in January 2023 to determine appropriations for the 2024-2025 biennium. SFA will submit a Legislative Appropriations Request (LAR) in August 2022 to request appropriated funds for fiscal years 2024 and 2025. The UBC ranked special items for the LAR that will be utilized in the request.

REVENUES

Tuition and Fee Revenue - Based on enrollment projections and additions to the budget, tuition and fees increased 0.53% or $568,400. The increase is due to 3-Peat tuition increasing by $539,600 as it was previously not included in the budget.

Interagency Transfer - SFA receives support through the Hazlewood Exemption Program. The interagency transfer for these funds has previously not been included in the budget. The estimated amount for FY 2023 is $600,000.

Housing Revenue – Student housing funds are budgeted to increase $4,116,275. Student resident on campus living is expected to increase significantly. SFASU experienced a decline in student residents prior to the COVID-19 pandemic as the campus residency requirement was lifted during the pandemic for Fall 2020 and continued to impact housing revenue for Fall 2021. The residency requirement was

reinstated for Fall 2021 and increased housing applications are indicative of an increase in student residents. Assigned beds for Fall 2022 are projected at 3,388 students compared to 2,957 in Fall 2021. Housing rates increase by 4% effective fall 2022.

Dining Revenue - The Chartwells dining contract began in July 2021. Residence Life is anticipating additional students on campus for fiscal year 2023, therefore additional revenue is budgeted for mandatory meal plans. Total dining revenue is expected to increase $3,515,916, of which $2,258,303 is for meal plans and $848,699 is for dining commissions.

Grant Revenues - Grant Revenues have not previously been included in total in the annual operating budget. The budget for fiscal year 2023 is anticipated to be $3,000,000. This estimate may not include all grant revenue awarded, but grants are reported to the BOR on a quarterly basis. Grant revenues are recognized to the extent that funds are expended.

Gift Revenue – All gifts have not previously been included in the operating budget, even though operating expenses were paid from the funds. The amount of gift revenue budgeted is $6.4 million, which includes $2.8 million from Athletics and Foundations gifts.

EXPENDITURES

Debt Service – Debt Service expenditures are budgeted at $21,538,016 which is a decrease of $452,928. Of the total debt service budget, $5,382,750 is appropriated in the GAA and included in Appropriations. Debt Service related to housing and dining bonds increased $591,466.

VSIP Reinvestment Funds - SFA offered a Voluntary Separation Incentive Plan (VSIP) in FY 2021. As part of the plan, amounts were retained for replacement of employees in future years. Funds budgeted in fiscal year 2022 for replacement positions have been allocated for fiscal year 2023. The President's Innovation Fund, which resulted from VSIP savings of $465,891 is budgeted as an expense for FY 2023.

VSIP Expense – In FY 2022, the budget included VSIP savings of $2,828,373, which included a $705,726 pay back to fund balance. These amounts are not budgeted as an expense in FY 2023. Finance and Administration reviews these funds in a Net Position analysis instead.

Benefits – Due to the pooling of Benefits as discussed under Assumptions above, overall benefits are expected to decrease by $1,763,455.

Dining Expenses - The increase in dining expenses is in direct correlation to the increase in dining revenue. Dining Services O&M increased by $2,150,000 due to increased expenses related to the expected increase in meal plan revenue.

Housing Allowances - Due to the COVID-19 pandemic, SFA offered housing allowances to students to encourage on campus living beginning in Fall 2021 and continuing through Fall 2022. These housing allowances were not budgeted in FY 2022; even though they were awarded to students. Estimated housing allowances budgeted for FY 2023 total $996,000. Since these resulted from a pandemic initiative, the $996,000 is budgeted from Fund Balance.

Higher Education Fund Expenditures – HEF expenditures are budgeted at $11,277,793 which is the same level as the prior year. HEF Debt Service decreased by $78,948, increasing the available capital outlay budget by the same amount. The HEF budget allocation for the Library remained the same.

Utility Expenses - Utility expenses were kept at the same level as the prior year. The Basketball Performance Facility was added in FY 2022 and the Fine Arts Building Addition will be added in the Spring of FY 2023; however, prior year utility budgets were conservative to plan for these additions.

Retiree Insurance Expense - Retiree insurance is included in the budget for $7,291,869 which decreased overall by $25,085. Retiree insurance budgets are funded based on the position funding of the individual retiree by either Education and General (E&G), Designated Tuition, or Pledged Auxiliary. Pledged Auxiliary retiree insurance increased by $1,226,801 which was offset by retiree insurance decreases in Designated Tuition of $918,315 and Education & General of $333,571.

Operations and Maintenance Expenses – During FY 2022, the President authorized the use of salary savings. Several departments utilized operations and maintenance (O&M) to support salary restructures, additional positions, and payments, and some departments recognized additional O&M. Salary savings will be centralized for FY 2023.

Grant Expenditures – Grant expenditures are budgeted at the same amount as grant revenue. Grant expenditures in total have not previously been included in the budget.

Contingency - The total contingency expenditure budget for FY 2023 is $2,783,261.

BUDGET PRESENTATION CHANGES

Distance Learning Salaries - For FY 2022, online faculty salaries were budgeted in the Distance Learning Fee Fund. In order to simplify salary funding sources and provide transparency, the online faculty salaries were budgeted in Designated Tuition and funded by a transfer from the Distance Learning Fee Fund for FY 2023.

Student Center Operations - In efforts to centralize custodial and facility operations, all related budgets were moved from the former University Affairs (now Student Affairs) division to the Physical Plant Department (PPD) in FY 2022. For FY 2023, Student Center

Operations has moved back to the Student Affairs division as it was determined no efficiencies were realized from the change.

Athletics – In the FY 2023 operating budget, the transfer from Designated Tuition for Athletics increased because one custodian moved from PPD to Athletics to join the three custodian positions already budgeted in Athletics. For transparency and to budget all funds, Athletic positions previously paid directly from Gift Funds are now budgeted from the Athletics Fund and supported by a transfer in from Restricted Gift Funds. Athletics revenue increased based on projections provided by Athletics and efforts to reflect actual spending; thus, the budget revenue increase includes transfers in of $2,063,000 Restricted Gift Funds.

VPFA Budget – VPFA budget decreased due to moving positions from PPD to Student Center Operations and organization code changes for split funded positions in prior year.

Academic Affairs O&M and Salaries – In FY 2022, the Provost Budget combined summer, adjunct, and graduate assistants in O&M and allocated at a later date. The FY 2023 allocation is presented in the Budget, which results in a swing between O&M and salaries when comparing fiscal years. New academic positions in FY 2023 were funded by moving O&M to salaries, so benefits of $366,000 were centralized.

Center for Applied Research Rural Innovation (CARRI) – The CARRI budget included in Legislative appropriations was combined with Academic Affairs in the FY 2023 budget. CARRI was included in the President's budget for fiscal year 2022.

NET POSITION

Net Position (Fund Balance) Support - After a financial reserve analysis, the budget includes a planned use of fund balance that maintains appropriate reserves within university policy. Using fund balance can help provide a consistent level of resources; funding for large initiatives; coverage of shortfalls; and timing differences. The use of fund balance of $5.3 million in FY 2023 compares to the budgeted use of $4.2 million in FY 2022. HEF fund balance of $3 million is the carry-forward of the HEF funds in the State treasury. These funds were not previously budgeted. Comprehensive Regional University funding of $948,659 is a timing difference as the funds are expected to be received in August of FY 2022. The largest difference in the use of fund balance from the previous year is in the use of CARES/HEERF fund balance. The difference of $14 million shows the university's expected recovery of funds in FY 2023.

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DEBT

Outstanding Debt – As of August 31, 2022, the university has outstanding principal of $198,903,538 and interest of $92,787,153 for total debt of $291,690,691.

Debt Service - Debt service for FY 2023 totals $21,538,016 with $5,382,750 to be paid from State appropriations and $3,454,239 to be paid from HEF.

CAPITAL AND CONSTRUCTION BUDGETS

Construction Project Budgets - SFA has construction project budgets that are separately approved by the BOR and not part of the operating budget. The unexpended balance at the end of FY 2022 is estimated to be $5 million.

Bond Proceeds – The university has unexpended 2019A and 2019B bond proceeds with related interest income of approximately $39.5 million and expects to start the projects in FY 2023. These funds are not part of the operating budget.

Capital Construction Assistance Projects - SFA received a CCAP of $44,922,833 and plans to issue bonds and start expending proceeds in FY 2023. These funds are not part of the operating budget.

Stephen F. Austin State University
Fiscal Year 2022-2023 Operating Budget Summary
Prior Year Comparison

	2022	2023	Change	% Change
Operating Funds Budget	**231,055,370**	**233,687,713**	**2,632,343**	**1.14%**
Restricted Funds Budget	**30,964,048**	**36,333,212**	**5,369,164**	**17.34%**
Total Budget	**262,019,418**	**270,020,925**	**8,001,507**	**3.05%**

Budgeted Revenue

Revenue Type	2022	2023	Change	% Change
Tuition and Fees	106,488,885	107,057,285	568,400	
State Appropriations	60,517,966	60,660,874	142,908	
Grants and Contracts	36,013,361	40,191,255	4,177,894	
Student Housing	15,924,377	20,040,652	4,116,275	
Dining	9,746,495	13,262,411	3,515,916	
Gifts	4,907,159	8,473,157	3,565,998	
Sales and Services	3,133,391	3,142,605	9,214	
Parking	1,243,600	1,367,100	123,500	
Other Athletic Revenue	1,117,500	1,265,250	147,750	
Investment Income	1,200,555	1,145,555	(55,000)	
Camp Revenue	832,410	916,760	84,350	
NCAA Revenue	650,000	850,000	200,000	
Hazlewood Reimbursement-Interagency Transfer	-	600,000	600,000	
Orientation	402,000	404,400	2,400	
Campus Recreation	273,200	289,500	16,300	
Other Revenues	2,500	103,300	100,800	
Additions to Endowments	1,602	-	(1,602)	
Fund Balance General	4,289,538	5,306,162	1,016,624	
HEF Fund Balance	-	3,000,000	3,000,000	
CARES/HEERF Funding	14,911,596	996,000	(13,915,596)	
VSIP Reinvestment Funds from FY 2021	363,284	-	(363,284)	
Comprehensive Regional University (CRU)	-	948,659	948,659	
Total Revenue and Transfers In	**262,019,418**	**270,020,925**	**8,001,507**	**3.05%**

Transfers in from Fund Balance

Transfer	2022	2023	Change	% Change
Fund Balance General	4,289,538	5,306,162	1,016,624	
HEF Fund Balance	-	3,000,000	3,000,000	
CARES/HEERF Funding	14,911,596	996,000	(13,915,596)	
Comprehensive Regional University (CRU)	-	948,659	948,659	
VSIP Reinvestment Funds from FY 2021	363,284	-	(363,284)	
Total Transfers in from Fund Balance	**19,564,418**	**10,250,821**	**(9,313,597)**	**-47.60%**

Budgeted Expenditures

Expenditure Type	2022	2023	Change	% Change
Salaries and Wages	84,333,296	93,693,703	9,360,408	
Operating Expenditures	54,414,012	47,104,042	(7,309,970)	
Restricted Expenditure	30,964,048	36,333,212	5,369,164	
Benefits	31,822,196	30,058,740	(1,763,455)	
Scholarships and Fellowships	29,006,773	29,292,440	285,667	
Transfers to Retirement of Debt	21,990,944	21,538,016	(452,928)	
Capital Outlay	7,744,606	10,823,554	3,078,948	
Travel	1,037,818	1,177,218	139,400	
VSIP Annual Payback	705,726	-	(705,726)	
Total Expenditures and Transfers Out	**262,019,418**	**270,020,925**	**8,001,507**	**3.05%**

Stephen F. Austin State University
Fiscal Year 2022-2023 Operating Budget Summary
Prior Year Comparison

Tuition and Fee Revenue

Tuition/Fee	2022	2023	Change	% Change
Designated Installment Fee	224,956	271,000	46,044	
Designated Other Fees	840,135	845,625	5,490	
Designated Sales and Service	159,700	102,900	(56,800)	
Designated Tuition	56,925,879	56,648,853	(277,026)	
Distance Education Fee	2,823,880	3,212,798	388,918	
Educational and General Funds	16,126,924	16,580,793	453,869	
Environmental Services Fee	112,993	113,376	383	
GR Differential Tuition	215,178	140,698	(74,480)	
Graduate Application Fees	70,000	52,112	(17,888)	
International Education Fee	67,607	68,052	445	
Non-pledged Auxiliary	8,000	10,090	2,090	
Pledged Auxiliary	270,000	280,000	10,000	
Recreation Center	2,442,784	2,454,775	11,991	
Student Center Fee	1,985,508	1,818,405	(167,103)	
Student Service Fee	3,658,103	3,548,360	(109,743)	
UG Differential Tuition	1,973,740	2,006,524	32,784	
University Services Fee	18,583,497	18,902,924	319,427	
Total Tuition and Fees	**106,488,885**	**107,057,285**	**568,400**	**0.53%**

State Appropriations Revenue

Revenue	2022	2023	Change	% Change
General Revenue Appn	39,152,019.00	39,149,878.00	(2,141.00)	
HEF Appropriation	11,277,793.00	11,277,793.00	-	
Medical Insurance Supplement	6,233,203.00	6,233,203.00	-	
OASI (FICA) Appropriation	2,102,950.00	1,900,000.00	(202,950.00)	
ORP Appropriation	765,000.00	900,000.00	135,000.00	
TRS Appropriation	987,001.00	1,200,000.00	212,999.00	
Total State Appropriations	**60,517,966.00**	**60,660,874.00**	**142,908.00**	**0.24%**

State Appropriations Revenue
General Revenue (GR)

Revenue	2022	2023	Change	% Change
Instruction/Operations				
Operations Support	22,769,034.00	22,768,136.00	(898.00)	
Teaching Experience Supplement	1,202,926.00	1,202,906.00	(20.00)	
Infrastructure Support				
E&G Space Support	4,824,597.00	4,824,424.00	(173.00)	
Tuition Revenue Bond Retirement	5,383,800.00	5,382,750.00	(1,050.00)	
Non-Formula Support				
Rural Nursing Initiative	270,370.00	270,370.00	-	
Center for Applied Studies in Forestry	377,523.00	377,523.00	-	
Center for Applied Research and Rural Innovation (CARRI)	1,000,000.00	1,000,000.00	-	
Stone Fort Museum and Research Center of East Texas	71,959.00	71,959.00	-	
Soil Plant and Water Analysis Laboratory	41,048.00	41,048.00	-	
Applied Poultry Studies and Research	38,714.00	38,714.00	-	
Institutional Enhancement	3,028,794.00	3,028,794.00	-	
Research Funds				
Comprehensive Research Fund	143,254.00	143,254.00	-	
Total State Appropriations	**39,152,019.00**	**39,149,878.00**	**(2,141.00)**	**-0.01%**

Stephen F. Austin State University
Fiscal Year 2022-2023 Operating Budget Summary
Prior Year Comparison

Housing and Dining Revenue

Revenue	2022	2023	Change	% Change
Student Housing				
Room Rate Revenue	15,834,127	19,950,652		
Other Housing Revenue	90,250	90,000		
Total Student Housing Revenue	**15,924,377**	**20,040,652**	**4,116,275**	**25.85%**
Dining				
Meal Plans	7,945,710	10,204,013	2,258,303	
Dining Dollars	1,504,573	1,755,987		
Catering	142,500	300,000		
Commissions	153,712	1,002,411	848,699	
Total Dining Revenue	**9,746,495**	**13,262,411**	**3,515,916**	
Total Housing and Dining	**25,670,872**	**33,303,063**	**7,632,191**	**29.73%**

Budgeted Expenditures by Function

Functional Code	2022	2023	% Total	Change
Instruction	53,374,948	60,693,628	22.48%	7,318,680
Scholarships and Fellowships	49,594,114	51,263,163	18.98%	1,669,049
Auxiliary Enterprises	39,281,326	43,030,654	15.94%	3,749,328
Institutional Support	47,258,614	34,715,902	12.86%	(12,542,712)
Academic Support	24,872,160	25,153,172	9.32%	281,012
Athletics	17,515,342	20,140,781	7.46%	2,625,439
Operation and Maintenance of Plant	17,058,366	18,780,714	6.96%	1,722,349
Student Services - Non-Athletics	10,659,456	10,879,188	4.03%	219,732
Research	1,634,418	4,556,171	1.69%	2,921,753
Public Service	770,674	807,551	0.30%	36,877
Total Expenditures	**262,019,418**	**270,020,925**	**100.00%**	**8,001,507**

Allocation of Restricted funds based on estimates

Budgeted Expenditures by Division

Expenditure Type	2022	2023	% Total	Change
Board of Regents	896,854	1,001,870	0.37%	105,016
Centralized Benefits	-	-	0.00%	-
Enrollment Management	26,734,040	28,061,821	10.39%	1,327,781
Information Tech Svcs	5,934,952	5,975,037	2.21%	40,086
Intercollegiate Athletics	14,259,795	16,369,625	6.06%	2,109,830
Diversity, Equity & Inclusion	1,054,863	1,082,906	0.40%	28,043
President	2,015,128	1,314,249	0.49%	(700,879)
Provost & VP Academic Affairs	68,687,523	68,206,106	25.26%	(481,417)
Restricted	30,964,048	36,333,212	13.46%	5,369,164
University Marketing	2,201,347	2,204,937	0.82%	3,590
University Wide	28,428,676	23,212,270	8.60%	(5,216,406)
VP Finance & Administration	28,029,397	24,344,089	9.02%	(3,685,308)
VP for University Advancement	1,444,470	1,436,381	0.53%	(8,089)
VP Student Affairs	18,667,606	29,617,301	10.97%	10,949,695
Centralized Benefits and Longevity	32,700,719	30,861,121	11.43%	(1,839,598)
Total Expenditures and Transfers Out	**262,019,418**	**270,020,924**	**100.00%**	**8,001,507**

Stephen F. Austin State University
Fiscal Year 2022-2023 Operating Budget Summary
Prior Year Comparison

Provost/VP Academic Affairs Budgeted Expenditures

Expenditure Type	2022	2023	Change	% Change
Faculty Academic Salaries	37,228,008	41,324,329	4,096,321	
Operations & Maint Budget Pool	18,015,145	7,952,991	(10,062,154)	
Professional Admin Salaries	5,935,429	6,578,633	643,204	
Classified Salaries	4,257,516	4,342,886	85,370	
Adjunct Faculty Salaries		2,210,851	2,210,851	
Graduate Teaching Assts		1,300,000	1,300,000	
Capital Outlay Budget Pool	1,100,000	1,100,000	-	
Budget Use Only-Faculty	732,967	1,049,748	316,781	
Graduate Research Assts		650,000	650,000	
Grant Schol and Fellowships Pool	503,647	470,277	(33,370)	
Classified Wages	320,861	352,972	32,111	
Stipends	300,000	300,000	-	
Graduate Administrative Assts		174,023	174,023	
Budget Use Only-Professional	36,000	161,046	125,046	
Student Employees	111,950	91,950	(20,000)	
Travel Budget Pool	76,400	76,400	-	
Student Workstudy Wages	59,600	60,000	400	
Addl Comp Professional Salaries	10,000	10,000	-	
Total Expenditures without Benefits & Longevity	**68,687,523**	**68,206,106**	**(481,417)**	**-0.70%**
Employee Benefits Budget Pool	14,528,497	1,611,383	(12,917,114)	
Longevity Pay	324,844	16,393	(308,451)	
Total Benefits & Longevity	**14,853,341**	**1,627,776**	**(13,225,565)**	**-89.04%**
Total Expenditures	**83,540,864**	**69,833,882**	**(13,706,982)**	**-16.41%**

Stephen F. Austin State University
Fiscal Year 2022-2023 Operating Budget Summary
Prior Year Comparison

Athletics Budgeted Revenue

Revenue Type	2022	2023	Change	% Change
Athletic Ticket Sales	235,000	265,000	30,000	
Concession Revenues	30,000	30,000	-	
Game Guarantees	675,000	525,000	(150,000)	
NCAA Revenue Distributions	650,000	850,000	200,000	
Pressbox Revenues	-	130,000	130,000	
Camp Revenues - Auxiliary	1,000	250	(750)	
Facilities Rental	-	25,000	25,000	
Equipment Rental	-	20,000	20,000	
Licensing or Royalty Revenues	60,000	270,000	210,000	
Transfers In from University Services Fee	837,028	837,028	-	
Transfers In from Student Service Fee	1,076,040	1,000,000	(76,040)	
Transfers In from Pledged Auxiliary	82,156	82,156	-	
Transfers In from Restricted	-	2,063,000	2,063,000	
Transfers In from DesignatedTuition	11,930,520	11,953,452	22,932	
Total Revenue and Transfers In	**15,576,744**	**18,050,886**	**2,474,142**	**15.88%**

Athletics Budgeted Expenditures

Expenditure Type	2022	2023	Change	% Change
Professional Admin Salaries	4,572,775	4,882,290	309,515	
Addl Comp Professional Salaries	2,100	2,100	-	
Graduate Administrative Assts	52,500	52,500	-	
Student Employees	78,663	78,663	-	
Classified Salaries	285,693	300,765	15,072	
Addl Comp Classified Salaries	14,500	14,500	-	
Classified Wages	128,958	161,597	32,639	
Travel Budget Pool	1,033,035	1,033,035	-	
Operations & Maint Budget Pool	3,118,652	4,987,756	1,869,104	
Grant Schol and Fellowships Pool	4,856,419	4,856,419	-	
Total Expenditures without Benefits & Longevity	**14,143,295**	**16,369,625**	**2,226,330**	**15.74%**
Employee Benefits Budget Pool	1,386,511	1,634,176	247,665	
Longevity Pay	46,938	47,085	147	
Total Benefits & Longevity	**1,433,449**	**1,681,261**	**247,812**	**17.29%**
Total Expenditures	**15,576,744**	**18,050,886**	**2,474,142**	**15.88%**

Stephen F. Austin State University
Fiscal Year 2022-2023 Operating Budget Summary
Budget by Funding Source

Budgeted Revenue

Revenue Type	Education & General	Designated	Non-Pledged Auxiliary	Pledged Auxiliary	Restricted	Total
Tuition and Fees	16,580,793	84,819,637	3,558,450	2,098,405		107,057,285
State Appropriations	60,660,874					60,660,874
Grants and Contracts	10,020,000	246,000			29,925,255	40,191,255
Student Housing				20,040,652		20,040,652
Dining				13,262,411		13,262,411
Gifts		2,200			8,470,957	8,473,157
Sales and Services	734,040	1,653,015	204,500	551,050		3,142,605
Parking				1,367,100		1,367,100
Other Athletic Revenue			1,265,250			1,265,250
Investment Income	20,000	805,555		320,000		1,145,555
Camp Revenue		731,760		185,000		916,760
NCAA Revenue			850,000			850,000
Hazlewood Reimbursement-Interagency Transfer	600,000					600,000
Orientation		404,400				404,400
Campus Recreation		289,500				289,500
Other Revenues		103,300				103,300
Transfer In Fund Balance General		3,958,339		1,347,823		5,306,162
Transfer In HEF Fund Balance	3,000,000					3,000,000
Transfer in CARES/HEERF Funding				996,000		996,000
Transfer In Comprehensive Regional University (CRU)		948,659				948,659
Total Revenue and Transfers In	**91,615,707**	**93,962,365**	**5,878,200**	**40,168,441**	**38,396,212**	**270,020,925**

Budgeted Expenditures

Expenditure Type	Education & General	Designated	Non-Pledged Auxiliary	Pledged Auxiliary	Restricted	Total
Salaries and Wages	44,373,258	35,625,658	6,752,708	6,942,079		93,693,703
Operating Expenditures	1,190,425	20,293,620	6,387,107	19,232,891		47,104,042
Restricted Expenditure					36,333,212	36,333,212
Benefits	14,299,477	10,023,092	1,998,869	3,737,303		30,058,740
Scholarships and Fellowships	9,900,000	14,333,796	5,058,644			29,292,440
Transfers to Retirement of Debt	8,836,989	2,833,854		9,867,173		21,538,016
Capital Outlay	10,823,554					10,823,554
Travel		53,783	1,098,435	25,000		1,177,218
Total Expenditures and Transfers Out	**89,423,703**	**83,163,803**	**21,295,762**	**39,804,446**	**36,333,212**	**270,020,925**

Fund Balance Support

Transfer	Education & General	Designated	Non-Pledged Auxiliary	Pledged Auxiliary	Restricted	Total
Transfer in Fund Balance General		3,958,339		1,347,823		5,306,162
Transfer In HEF Fund Balance	3,000,000					3,000,000
Transfer in CARES/HEERF Funding				996,000		996,000
Transfer In Comprehensive Regional University (CRU)		948,659				948,659
Total Transfers	**3,000,000**	**4,906,998**	**-**	**2,343,823**	**-**	**10,250,821**

Stephen F. Austin State University
Fiscal Year 2022-2023 Operating Budget Summary
Debt

Debt Service by Funding Source

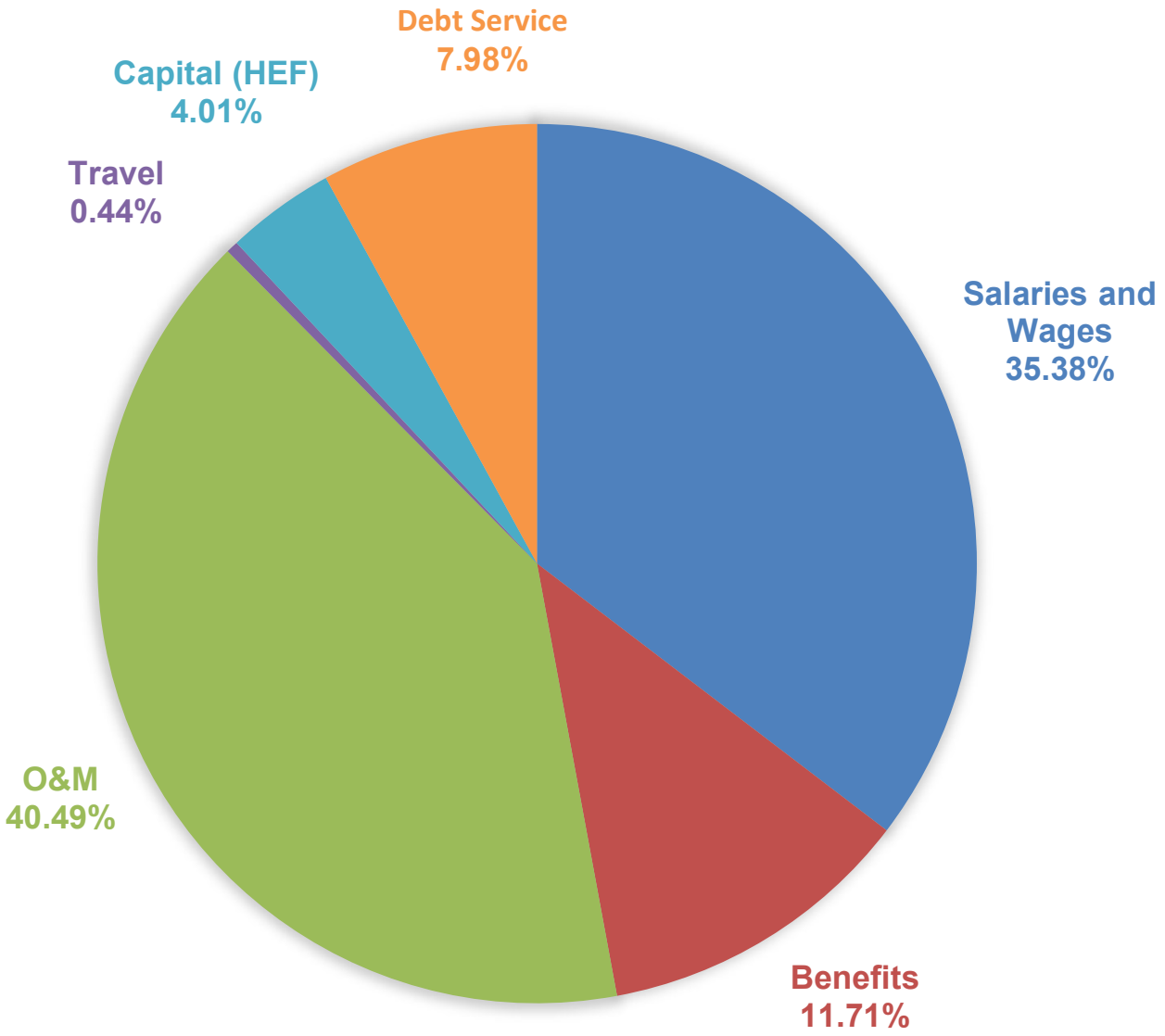
Debt Series	Facility	Funding Source	Institutional Funding Source	FY 2022	FY 2023	Change	% Change
Series 2016	STEM, Refund 2009 TRB	State Appropriations	Education & General - State Appropriations	5,383,800	5,382,750	(1,050)	
Series 2019A	Fine Arts	Institutional - HEF	Education & General - Higher Education Fund	2,655,579	2,654,451	(1,128)	
Municipal Lease	Energy Savings Phase 3	Institutional - HEF	Education & General - Higher Education Fund	877,608	799,788	(77,820)	
Total Debt Service funded from State Sources				**8,916,987**	**8,836,989**	**(79,998)**	**-0.90%**
Series 2015, 2019A, 2020, Municipal Lease	Housing	Institutional	Pledged Auxiliary - Housing	7,479,894	8,071,360	591,466	
Series 2013, Refunding 2004	Student Center	Institutional	Pledged Auxiliary - Student Center Fee	2,762,688	1,795,813	(966,875)	
Series 2015	Rec Center	Institutional	Designated - Recreation Center Fee	1,450,474	1,453,540	3,066	
Series 2019A	Bball Practice	Institutional	Designated - University Services Fee	1,380,901	1,380,314	(587)	
Total Debt Service funded from Institutional Funds				**13,073,957**	**12,701,027**	**(372,930)**	**-2.85%**
Total Debt Service				**21,990,944**	**21,538,016**	**(452,928)**	**-2.06%**

Stephen F. Austin State University
Fiscal Year 2022-2023 Operating Budget Summary
Debt

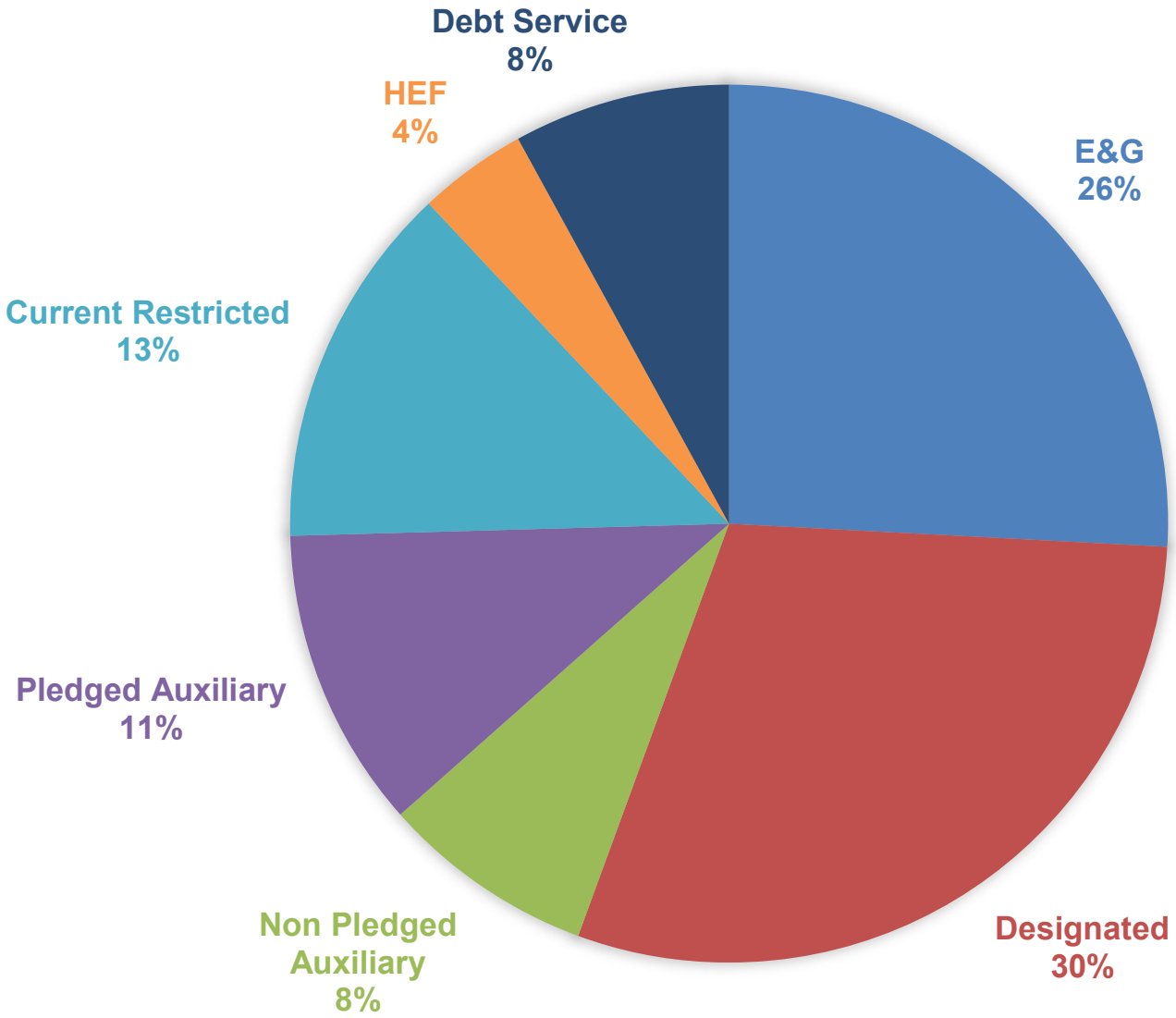
Total Long-Term Debt as of August 31,2022

Series	Facility	Funding Source	Institutional Funding Source	Principal	Interest	Total Debt Service	Final Maturity
Series 2016 (TRB)	STEM, Refund 2009 TRB	State Appropriations	Education & General - State Appropriations	44,995,000	14,308,950	59,303,950	10/15/2036
Series 2013	Student Center	Institutional	Pledged Auxiliary - Student Center Fee	5,060,000	332,344	5,392,344	10/15/2024
Series 2015	Rec Center, Housing	Institutional	Designated - Recreation Center Fee, Pledged Auxiliary - Housing	20,275,000	825,155	21,100,155	10/15/2025
Taxable Series 2019B	Dining	Institutional	Pledged Auxiliary - Dining	13,985,000	4,173,417	18,158,417	10/15/2035
Series 2019A	Housing, Bball Practice, Fine Arts	Institutional	Pledged Auxiliary - Housing, Designated - University Services Fee, Education & General - Higher Education Fund	91,415,000	68,669,675	160,084,675	10/15/2048
Series 2020	Housing	Institutional	Pledged Auxiliary - Housing	15,935,000	3,595,625	19,530,625	10/15/2029
Total Bonded Debt				**191,665,000**	**91,905,166**	**283,570,166**	
Municipal Lease	Energy Savings Phase 3	Institutional	Education & General - Higher Education Fund	7,238,538	881,987	8,120,525	4/15/2030
Total Long-Term Debt				**198,903,538**	**92,787,153**	**291,690,691**	

Budgeted Expenditure Categories for All Funds Fiscal Year 2022-23



Budgeted Expenditures by Fund
Fiscal Year 2022-23



Stephen F. Austin State University

Proposed

Operating and Capital Budgets

Fiscal Year 2022-2023

Stephen F. Austin State University

2022-2023 Institutional Operating Budget

SUMMARY

Texas Education Code (TEC) Title 3, Subtitle A, Chapter 51 states the following:

Sec. 51.0051. ANNUAL OPERATING BUDGETS. The governing board of each institution shall approve on or before September 1 of each year an itemized budget covering the operation of the institution for the fiscal year beginning on September 1 of each year. The budget shall be prepared within the limits of legislatively appropriated general revenue and estimated educational and general funds.

In addition, Board of Regents Rules state, “The president shall prepare and submit annually to the board at its April or July meeting, as specified each year by the board, a proposed budget for the operation of the institution for the next fiscal period.”

The Stephen F. Austin State University proposed institutional operating budget for fiscal year (FY) 2022-23 is $270,020,925. SFA leadership prepared the FY 2022-23 budget based on SFA moving from COVID-19 pandemic recovery in FY 2021-22 to a more normalized state of operations in FY 2022-23. The institutional budget includes the Higher Education Fund (HEF) allocation.

BUDGET SUMMARY

Stephen F. Austin State University
Budgeted Expenditures
Fiscal Year 2022-23

	Faculty Salaries	Exempt Salaries	Classified Wages	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operation & Maintenance	Travel	Capital Outlay	Debt Service	Total
Educational & General Funds	34,966,542	4,501,567	4,622,341	60,000	222,808		14,299,477	11,090,425		10,823,554	8,836,989	89,423,703
Designated Purpose Funds	10,918,386	15,317,810	8,099,211	871,359	408,413	10,480	10,023,092	34,627,416	53,783		2,833,854	83,163,802
Non-Pledged Auxiliary Funds		5,529,682	953,667	206,666	62,693		1,998,869	11,445,750	1,098,435			21,295,762
Pledged Auxiliary Funds		2,919,691	2,991,990	907,792	108,466	14,140	3,737,303	19,232,891	25,000		9,867,173	39,804,446
Restricted Funds		1,457,262	611,684	586,000	9,866		727,459	32,930,941	10,000			36,333,212
TOTALS	**45,884,928**	**33,041,962**	**17,278,893**	**2,631,816**	**812,247**	**24,620**	**31,302,987**	**129,575,335**	**1,187,218**	**10,823,554**	**21,538,016**	**270,020,925**

Stephen F. Austin State University
Budgeted Expenditures
Fiscal Year 2021-22

	Faculty Salaries	Exempt Salaries	Classified Wages	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operation & Maintenance	Travel	Capital Outlay	Debt Service	Total
Educational & General Funds	33,017,850	3,515,751	3,425,573	59,600	201,835		17,229,977	11,293,063		7,744,606	8,916,987	85,405,242
Designated Purpose Funds	4,943,125	14,593,212	9,396,908	903,035	498,299	10,050	10,225,615	47,355,677	59,383		2,831,375	90,816,679
Non-Pledged Auxiliary Funds		5,302,838	907,714	207,647	64,063		1,779,777	9,553,738	1,098,435			18,914,212
Pledged Auxiliary Funds		3,102,329	3,131,089	923,912	114,326	14,140	2,586,827	15,779,032	25,000		10,242,582	35,919,237
Restricted Funds		1,585,706	589,286	782,329	16,397		746,793	27,204,726	38,811			30,964,048
TOTALS	**37,960,975**	**28,099,836**	**17,450,570**	**2,876,523**	**894,920**	**24,190**	**32,568,989**	**111,186,236**	**1,221,629**	**7,744,606**	**21,990,944**	**262,019,418**

Stephen F. Austin State University
Higher Education Funds
Fiscal Year 2022-23

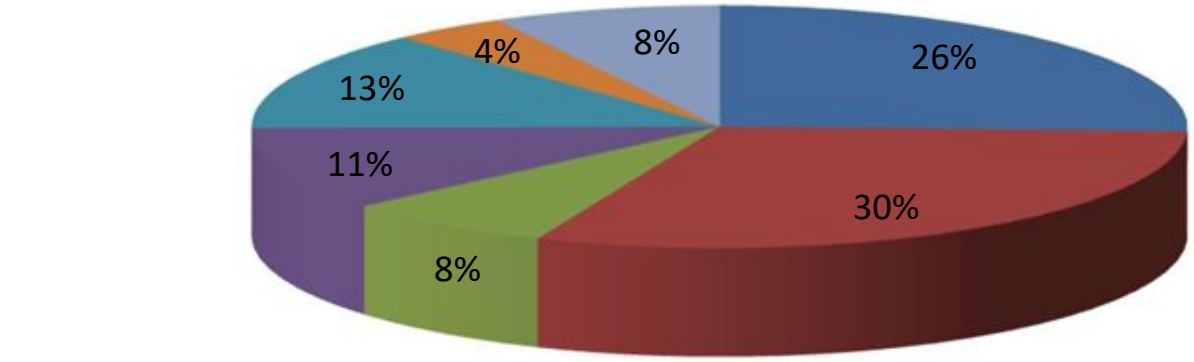
	HEF Appropriation	HEF Fund Balance	Total
FY 2023 Higher Education Fund (HEF) Appropriation	**11,277,793**		
HEF Fund Balance		**3,000,000**	
Total Funds Available			**14,277,793**
Higher Education Fund Allocation			
Debt Service			
Debt Service Fine Arts	2,654,451		
SECO Phase 3	799,788		
Total Debt Service	**3,454,239**		**3,454,239**
Capital Outlay			
Library Materials	1,100,000		
HEF Other	6,723,554	3,000,000	
Total Capital Outlay	**7,823,554**	**3,000,000**	**10,823,554**
Total Higher Education Fund Allocation	**11,277,793**	**3,000,000**	**14,277,793**

Stephen F. Austin State University
Schedule of Debt Service
For the Fiscal Year Ending August 31, 2023

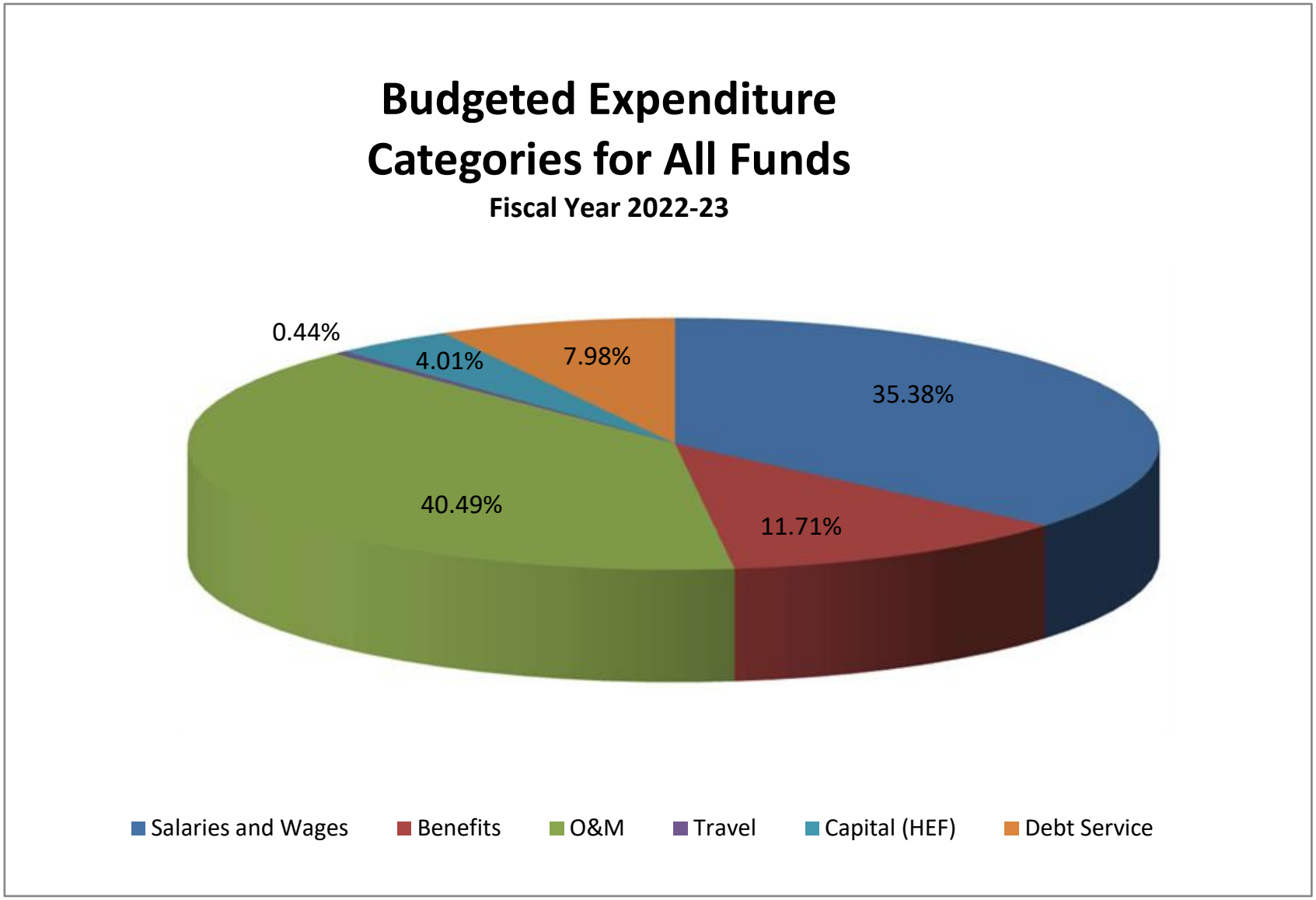
Project	2004 Refunding Student Ctr	2015 Refunding Phase I	2015 Refunding Phase II & Rec Ctr	2016 STEM Center & Refunding 2008 and 2009 Issues	2019 A Projects			2019 A TOTAL	2019 B TAXABLE Dining Hall	2020 '10 Refunding Freshman Hall & Garage	Energy Savings Phase 3 MuniLease Purch	Total
Type of Debt	Bond	Bond	Bond	Bond	B-ball Train Facil	Fine Arts	Res Hall		Bond			
Year Issued	13	15	15	16	19	19	19	19	19		14	
If Bond, type of Bond	Revenue	Revenue	Revenue	TRB	Revenue	Revenue	Revenue	Revenue	Revenue			
October 15, 2022												
Principal	1,605,000	1,070,000	3,850,000	3,310,000	332,497	639,418	303,084	1,275,000	790,000	705,000		12,605,000
Interest	115,469	44,924	158,840	1,077,750	528,065	1,015,509	481,351	2,024,925	263,275	398,375		4,083,557
Fees												-
April 15, 2023												
Principal											805,018	805,018
Interest	75,344	34,170	120,148	995,000	519,752	999,524	473,774	1,993,050	251,263	380,750	194,717	4,044,441
Fees												-
Total Requirements	1,795,813	1,149,094	4,128,988	5,382,750	1,380,314	2,654,451	1,258,210	5,292,975	1,304,537	1,484,125	999,735	21,538,016
Sources of Funds												
Muni Lease amts not drawn down used for DS												-
THECB TRB												-
E&G TRB				5,382,750				-				5,382,750
E&G HEF						2,654,451		2,654,451			799,788	3,454,239
Designated			1,453,540		1,380,314			1,380,314				2,833,855
Auxiliary - Housing		1,149,094	2,675,448				1,258,210	1,258,210	1,304,537	1,484,125	199,947	8,071,360
Auxiliary - UC	1,795,813							-				1,795,813
Total Sources of Funds	1,795,813	1,149,094	4,128,988	5,382,750	1,380,314	2,654,451	1,258,210	5,292,975	1,304,537	1,484,125	999,735	21,538,016

Comparison of Total Budgeted Expenditures by Fund

Fiscal Year 2022-23



E&G
Designated
Non Pledged Auxiliary
Pledged Auxiliary
Current Restricted
HEF
Debt Service


Budgeted Expenditure
Categories for All Funds
Fiscal Year 2022-23
0.44%
4.01%
7.98%
35.38%
40.49%
11.71%
Salaries and Wages
Benefits
O&M
Travel
Capital (HEF)
Debt Service

Stephen F. Austin State University
Education and General Revenues and Expenditures
Fiscal Year 2022-23

EXPENDITURES

	2021-22		2022-23	
Estimated Expenditures:				
Institutional Support		23,216,209		24,666,032
Student Services		10,021,364		10,462,216
Resident Instruction:				
Faculty Salaries	32,653,713		34,550,482	
Departmental Operating Exp	12,120,137		3,356,668	
Instructional Administration	1,697,279	46,471,129	1,942,494	39,849,644
Library		1,100,000		1,100,000
Organized Activities		800,343		734,040
Organized Research		143,254		143,254
Physical Plant:				
Custodial Services	1,853,329	1,853,329	1,293,234	1,293,234
Special Items:				
Applied Poultry Studies	38,714		38,714	
Center for Applied Rsrch & Rural Innov	1,000,000		1,000,000	
Center for Applied Studies	377,523		377,523	
Rural Nursing	270,370		270,370	
Soil Lab	41,048		41,048	
Stone Fort Museum	71,959	1,799,614	71,959	1,799,614
Centralized Benefits				9,375,669
Total Estimated Expenditures		85,405,242		89,423,703

Stephen F. Austin State University
Education and General Revenues and Expenditures
Fiscal Year 2022-23

REVENUES AND TRANSFERS IN

	2021-22		2022-23	
Estimated Revenues & Resources:				
State Appropriations:				
General Revenue	39,152,019		39,149,878	
Group Health Insurance	6,233,203		6,233,203	
FICA General Revenue	2,102,950		1,900,000	
TRS General Revenue	987,001		1,200,000	
ORP General Revenue	765,000		900,000	
Higher Education Fund*	11,277,793		14,277,793	
		60,517,966		63,660,874
State Passthroughs:				
Texas Grant Program	9,940,830		9,900,000	
Texas College Work Study	59,600		60,000	
Nursing Shortage Reduction	0	10,000,430	60,000	10,020,000
Transfer In From Other Agencies-Legislative:				
Texas Veterans Hazlewood			370,000	
Military Veterans Hazlewood	0	0	230,000	600,000
Student Fees:				
Tuition	13,874,526		14,223,189	
Individual Instruction Fees	165,600	14,040,126	165,600	14,388,789
Organized Activities:				
Early Childhood Lab	678,720		641,040	
Soil Lab	50,000		50,000	
Beef Farm	35,000		35,000	
Swine Farm	8,000	771,720	8,000	734,040
Other Income and Transfers:				
Investment Income	75,000	75,000	20,000	20,000
Total Estimated Revenues & Resources		85,405,242		89,423,703

*FY 2023 HEF Fund Balance of $3 million included

Stephen F. Austin State University
Education and General
Budget Summary by Element of Cost
Fiscal Year 2022-23

E&G Fund	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Benefits	Operations & Maintenance	Travel	Capital Outlay	TOTAL
Institutional Support	0	1,215,299	33,336	60,000	0	4,796,854	8,836,989	0	9,723,554	24,666,032
Student Services	0	416,907	145,309	0	0	0	9,900,000	0	0	10,462,216
Resident Instruction	34,550,482	2,287,376	2,922,328	0	260	23,426	65,772	0	0	39,849,644
Library	0	0	0	0	0	0	0	0	1,100,000	1,100,000
Organized Activities	30,772	306,569	182,999	0	5,480	140,000	68,220	0	0	734,040
Organized Research	0	0	0	0	0	0	143,254	0	0	143,254
Physical Plant Operations	0	0	1,293,234	0	0	0	0	0	0	1,293,234
Special Items	385,288	275,416	45,135	0	6,065	174,531	913,179	0	0	1,799,614
Centralized Benefits	0	0	0	0	211,003	9,164,666	0	0	0	9,375,669
TOTALS	34,966,542	4,501,567	4,622,341	60,000	222,808	14,299,477	19,927,414	0	10,823,554	89,423,703

Stephen F. Austin State University
Budget Summary
150 Institutional Support
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Budget Office	0	165,598	0	0	0	0	0	0	0	0	165,598
Center for Teaching and Learning	0	28,515	0	0	0	0	0	0	0	0	28,515
Director University Library	0	0	0	60,000	0	0	0	0	0	0	60,000
Financial Reporting	0	36,440	0	0	0	0	0	0	0	0	36,440
Institutional Effectiveness	0	192,919	33,336	0	0	0	0	0	0	0	226,255
Insurance	0	0	0	0	0	0	4,796,854	0	0	0	4,796,854
Office of the President	0	63,620	0	0	0	0	0	0	0	0	63,620
Provost & VP Academic Affairs	0	332,700	0	0	0	0	0	0	0	0	332,700
Unappropriated Fund Balance	0	0	0	0	0	0	0	0	0	9,723,554	9,723,554
University Revenues	0	0	0	0	0	0	0	8,836,989	0	0	8,836,989
VP Finance & Administration	0	202,594	0	0	0	0	0	0	0	0	202,594
VP for University Advancement	0	192,913	0	0	0	0	0	0	0	0	192,913
*TOTAL 150 Institutional Support	0	1,215,299	33,336	60,000	0	0	4,796,854	8,836,989	0	9,723,554	24,666,032

Stephen F. Austin State University
Budget Summary
152 Student Services
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Financial Aid	0	0	0	0	0	0	0	9,900,000	0	0	9,900,000
Financial Aid Operations	0	388,328	145,309	0	0	0	0	0	0	0	533,637
Student Success Center	0	28,579	0	0	0	0	0	0	0	0	28,579
*TOTAL 152 Student Services	0	416,907	145,309	0	0	0	0	9,900,000	0	0	10,462,216

Stephen F. Austin State University
Education and General
Resident Instruction
Fiscal Year 2022-23

Academic Unit	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Benefits	Operations & Maintenance	Travel	Capital Outlay	TOTAL
Academic Administration	676,439	1,178,520	763,974	0	0	0	0	0	0	2,618,933
College of Business	4,771,649	0	147,359	0	0	0	0	0	0	4,919,008
College of Education	6,448,593	217,427	861,016	0	0	0	0	0	0	7,527,036
College of Fine Arts	4,087,478	178,124	183,726	0	0	0	0	0	0	4,449,328
College of Forestry	1,780,442	172,662	195,475	0	260	23,426	5,772	0	0	2,178,037
College of Liberal & Applied Arts	8,154,119	60,662	319,871	0	0	0	0	0	0	8,534,652
College of Science & Mathematics	8,556,354	156,000	368,662	0	0	0	60,000	0	0	9,141,016
Other Instructional Departments	75,408	323,981	82,245	0	0	0	0	0	0	481,634
TOTALS	34,550,482	2,287,376	2,922,328	0	260	23,426	65,772	0	0	39,849,644

Stephen F. Austin State University
Budget Summary
160 Academic Administration
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Dean College of Business	162,000	210,767	172,129	0	0	0	0	0	0	0	544,896
Dean College of Education	0	0	32,400	0	0	0	0	0	0	0	32,400
Dean College of Fine Arts	0	280,874	46,456	0	0	0	0	0	0	0	327,330
Dean College of Forestry and Ag	123,128	245,492	25,060	0	0	0	0	0	0	0	393,680
Dean College of Sciences & Math	217,452	256,424	168,309	0	0	0	0	0	0	0	642,185
Dean Liberal and AAS	126,124	51,940	175,508	0	0	0	0	0	0	0	353,572
Graduate School	47,735	71,010	91,912	0	0	0	0	0	0	0	210,657
ITS Academic Support	0	11,798	0	0	0	0	0	0	0	0	11,798
Jacks Teach	0	0	52,200	0	0	0	0	0	0	0	52,200
University Partnerships	0	50,215	0	0	0	0	0	0	0	0	50,215
*TOTAL 160 Academic Administration	676,439	1,178,520	763,974	0	0	0	0	0	0	0	2,618,933

Stephen F. Austin State University
Budget Summary
180 College of Business
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Accounting	986,258	0	38,881	0	0	0	0	0	0	0	1,025,139
Bus Communication and Legal Studies	669,218	0	34,668	0	0	0	0	0	0	0	703,886
Economics and Finance	1,281,541	0	33,372	0	0	0	0	0	0	0	1,314,913
Mgt Mkg and Intl Business	1,834,632	0	40,438	0	0	0	0	0	0	0	1,875,070
*TOTAL 180 College of Business	4,771,649	0	147,359	0	0	0	0	0	0	0	4,919,008

Stephen F. Austin State University
Budget Summary
180 College of Education
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
COE Academic Services	133,094	33,000	326,735	0	0	0	0	0	0	0	492,829
COE Assessment and Accountability	133,094	114,427	211,655	0	0	0	0	0	0	0	459,176
Education Studies	2,198,817	0	82,340	0	0	0	0	0	0	0	2,281,157
Human Sciences	1,532,279	0	70,730	0	0	0	0	0	0	0	1,603,009
Human Services & Ed Leadership	1,256,112	70,000	104,300	0	0	0	0	0	0	0	1,430,412
Kinesiology and Health Science	1,195,197	0	65,256	0	0	0	0	0	0	0	1,260,453
*TOTAL 180 College of Education	6,448,593	217,427	861,016	0	0	0	0	0	0	0	7,527,036

Stephen F. Austin State University
Budget Summary
180 College of Fine Arts
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Art	1,179,188	51,548	0	0	0	0	0	0	0	0	1,230,736
Dean College of Fine Arts	0	0	48,820	0	0	0	0	0	0	0	48,820
Music	2,180,717	126,576	99,914	0	0	0	0	0	0	0	2,407,207
Theatre	727,573	0	34,992	0	0	0	0	0	0	0	762,565
*TOTAL 180 College of Fine Arts	4,087,478	178,124	183,726	0	0	0	0	0	0	0	4,449,328

Stephen F. Austin State University
Budget Summary
180 College of Forestry and Agriculture
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Agriculture	848,904	63,039	68,330	0	260	0	23,426	5,772	0	0	1,009,731
Applied Poultry Studies	0	10,478	0	0	0	0	0	0	0	0	10,478
Environmental Science	56,100	0	0	0	0	0	0	0	0	0	56,100
Forestry	875,438	99,145	127,145	0	0	0	0	0	0	0	1,101,728
*TOTAL 180 College of Forestry and Agriculture	1,780,442	172,662	195,475	0	260	0	23,426	5,772	0	0	2,178,037

Stephen F. Austin State University
Budget Summary
180 College of Liberal Arts and AAS
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Anthropology, Geography and Sociolo	714,419	60,662	36,333	0	0	0	0	0	0	0	811,414
English and Creative Writing	953,882	0	30,132	0	0	0	0	0	0	0	984,014
Government	1,181,406	0	39,273	0	0	0	0	0	0	0	1,220,679
History	1,185,332	0	0	0	0	0	0	0	0	0	1,185,332
Languages, Culture & Communication	1,257,690	0	0	0	0	0	0	0	0	0	1,257,690
Linguistics	154,261	0	0	0	0	0	0	0	0	0	154,261
Mass Communications	370,039	0	33,372	0	0	0	0	0	0	0	403,411
Multidisciplinary Studies	433,382	0	36,132	0	0	0	0	0	0	0	469,514
Psychology	1,002,874	0	39,784	0	0	0	0	0	0	0	1,042,658
Social Work	900,834	0	104,845	0	0	0	0	0	0	0	1,005,679
*TOTAL 180 College of Liberal Arts and AAS	8,154,119	60,662	319,871	0	0	0	0	0	0	0	8,534,652

Stephen F. Austin State University
Budget Summary
180 College of Science & Math
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Biology	1,210,278	0	40,110	0	0	0	0	0	0	0	1,250,388
Chemistry	827,605	0	48,600	0	0	0	0	0	0	0	876,205
Computer Science	901,918	0	36,348	0	0	0	0	0	0	0	938,266
Geology	586,951	0	38,385	0	0	0	0	0	0	0	625,336
Math & Stats	2,079,247	0	71,493	0	0	0	0	0	0	0	2,150,740
Nursing Shortage Reduction	0	0	0	0	0	0	0	60,000	0	0	60,000
Physics, Engineering and Astronomy	1,042,567	0	92,701	0	0	0	0	0	0	0	1,135,268
School of Nursing	1,907,788	156,000	41,025	0	0	0	0	0	0	0	2,104,813
*TOTAL 180 College of Science & Math	8,556,354	156,000	368,662	0	0	0	0	60,000	0	0	9,141,016

Stephen F. Austin State University
Budget Summary
156 Other Instructional Departments
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Equine Center	0	41,461	0	0	0	0	0	0	0	0	41,461
International Programs	0	81,000	41,436	0	0	0	0	0	0	0	122,436
Pre Professional Programs	18,501	0	0	0	0	0	0	0	0	0	18,501
STEM Center	0	201,520	0	0	0	0	0	0	0	0	201,520
School of Honors	56,907	0	40,809	0	0	0	0	0	0	0	97,716
*TOTAL 156 Other Instructional Departments	75,408	323,981	82,245	0	0	0	0	0	0	0	481,634

Stephen F. Austin State University
Budget Summary
154 Library
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Director University Library	0	0	0	0	0	0	0	0	0	1,100,000	1,100,000
*TOTAL 154 Library	0	0	0	0	0	0	0	0	0	1,100,000	1,100,000

Stephen F. Austin State University
Budget Summary
158 Organized Activities
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Beef Farms	0	35,000	0	0	0	0	0	0	0	0	35,000
Early Childhood Lab	0	258,665	182,999	0	5,480	0	140,000	53,896	0	0	641,040
Soil Lab	30,772	12,904	0	0	0	0	0	6,324	0	0	50,000
Swine Farm	0	0	0	0	0	0	0	8,000	0	0	8,000
*TOTAL 158 Organized Activities	30,772	306,569	182,999	0	5,480	0	140,000	68,220	0	0	734,040

Stephen F. Austin State University
Budget Summary
162 Organized Research
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Research & Sponsored Programs	0	0	0	0	0	0	0	143,254	0	0	143,254
*TOTAL 162 Organized Research	0	0	0	0	0	0	0	143,254	0	0	143,254

Stephen F. Austin State University
Budget Summary
164 Physical Plant
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Custodial Services	0	0	1,293,234	0	0	0	0	0	0	0	1,293,234
*TOTAL 164 Physical Plant	0	0	1,293,234	0	0	0	0	0	0	0	1,293,234

Stephen F. Austin State University
Budget Summary
166 Special Items
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Applied Poultry Studies	0	29,822	0	0	104	0	8,788	0	0	0	38,714
Center for Applied Studies	196,809	0	45,135	0	1,089	0	55,740	78,750	0	0	377,523
Provost CARRI	0	160,000	0	0	0	0	34,080	805,920	0	0	1,000,000
Rural Nursing	188,479	0	0	0	0	0	53,576	28,315	0	0	270,370
Soil Lab	0	33,800	0	0	312	0	6,742	194	0	0	41,048
Stone Fort Museum	0	51,794	0	0	4,560	0	15,605	0	0	0	71,959
*TOTAL 166 Special Items	385,288	275,416	45,135	0	6,065	0	174,531	913,179	0	0	1,799,614

Stephen F. Austin State University
Budget Summary
Centralized Benefits
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Centralized Benefits	0	0	0	0	211,003	0	9,164,666	0	0	0	9,375,669
*TOTAL Centralized Benefits	0	0	0	0	211,003	0	9,164,666	0	0	0	9,375,669

Stephen F. Austin State University
Budget Summary - Designated Funds
Fiscal Year 2022-23

Source and Application of Funds

Department	Designated Tuition	University Services Fee	Differential Tuition	Other Income	TOTALS
AARC	170,155	90,000			260,155
ASEP TEA Technology Fee				21,140	21,140
Academic Advising		202,633			202,633
Academic UG Scholarship	3,750,000				3,750,000
Accounting	200,000				200,000
Administrative Support	37,380				37,380
Admissions	1,243,528	287,482		420,000	1,951,009
Advancement Services	167,532				167,532
Agriculture				20,000	20,000
Anthropology, Geography and Socio	54,000				54,000
Art	147,350				147,350
Art Academy				6,000	6,000
Art Education				5,000	5,000
Arts Information Ofc				7,000	7,000
Audit Services	401,663				401,663
Auto Liability	129,248				129,248
Axe Handle	48,000				48,000
Bands				230,000	230,000
Banner Project Management		289,734			289,734
Biology	126,005				126,005
Board of Regents	88,520			5,000	93,520
Budget Office	77,600				77,600
Building Maintenance		1,346,731			1,346,731
Bus Communication and Legal Studi	384,738				384,738
COE Academic Services	37,000	84,354			121,354
COE Assessment and Accountability	47,538				47,538
CPM Program				45,000	45,000
Campus Rec Equipment Replacement				155,497	155,497
Campus Recreation		200,000		2,778,278	2,978,278
Campus Recycling		5,000			5,000
Capital Campaign	123,980				123,980

Department	Designated Tuition	University Services Fee	Differential Tuition	Other Income	TOTALS
Carpenters		-120			-120
Cattle Development				4,000	4,000
Center for Teaching and Learning		130,701		659,921	790,622
Central Stores		105,311			105,311
Centralized Benefits	4,509,906	2,863,561		528,995	7,902,462
Chemistry	130,271			100	130,371
Childrens Performing Arts				42,000	42,000
Choirs				51,450	51,450
Cnt for Career and Prof Dev	144,440			55,000	199,440
Cole Audiological Lab				300,000	300,000
Community Garden-Sprout				8,000	8,000
Computer Science	140,000				140,000
Counseling Clinic				3,500	3,500
Counseling Services	443,657				443,657
Criminal Justice				300	300
Custodial O&M		-6,460			-6,460
Custodial Services		151,964			151,964
Custodial Services		76,874			76,874
DEXA				200	200
Dance Production				1,760	1,760
Dean College of Business	197,500	115,249			312,749
Dean College of Education	260,201				260,201
Dean College of Fine Arts		40,752			40,752
Dean College of Forestry and Ag				400	400
Dean College of Sciences & Math	42,500	48,868			91,368
Dean Liberal and AAS	170,000				170,000
Dean of Students	41,649				41,649
Development	502,910				502,910
Director University Library	754,530	62,111		1,700	818,341
Disability Services	311,847			100	311,947
Early Childhood Lab				21,600	21,600
Eco - 339 Note Packets				10,000	10,000
Economics and Finance	134,879				134,879
Education Studies	297,026				297,026
Educator Cert Application Fee				61,000	61,000
Emergency Management Ops	4,250				4,250
Employee Blanket Bond Insurance	35,000				35,000
Employee Ed Asst Plan	250,000				250,000
Employee Wellness Program	43,415			1,000	44,415
English and Creative Writing	393,939			890	394,829
Env Sci Sales & Service				300	300

Department	Designated Tuition	University Services Fee	Differential Tuition	Other Income	TOTALS
Equine Center				33,000	33,000
Equine Riding Lesson Program				5,000	5,000
Family Weekend				2,400	2,400
Finance & Admin Services	406,517				406,517
Financial Aid - Set Asides	6,705,656		322,084		7,027,740
Financial Aid - TPEG				2,192,004	2,192,004
Financial Aid ACA				81,000	81,000
Financial Aid Operations	131,946				131,946
Financial Reporting	306,159	47,940		200	354,299
Food Plots and Supp Feeding				100	100
Food Service ECHL				68,280	68,280
Forestry	218,757				218,757
Forestry GIS Lab				200	200
Freshman & Transfer Seminars	10,000				10,000
General Contingency	1,931,866	20,304		281,000	2,233,170
General Services		433,927			433,927
Geology	64,000			25,000	89,000
Government				6,000	6,000
Graduate Application Fee	27,000			52,112	79,112
Graduate School	170,000				170,000
Grounds Care		-120			-120
Grounds Maintenance		552,414			552,414
Health and Wellness Education				6,000	6,000
Heifer Development				25,000	25,000
Heritage Research Center	80,384			900	81,284
History	41,000				41,000
Human Resources	593,462	41,000			634,462
Human Sciences	85,000			8,000	93,000
Human Services & Ed Leadership	499,661				499,661
IDC Revenues	165,000				165,000
ITS Academic Support		106,666		58,991	165,657
ITS Information Security		474,710			474,710
ITS Wepa Student Printing				10,000	10,000
Information Tech Svcs	112,500	2,599,116			2,711,616
Institutional Memberships	70,000				70,000
Institutional Research	278,969			1,000	279,969
Insurance	784,667				784,667
International Programs	68,500			75,552	144,052
International Student Applications				5,000	5,000
Investment Income Bank				100,000	100,000
Jack Camp				96,349	96,349

Department	Designated Tuition	University Services Fee	Differential Tuition	Other Income	TOTALS
Jazz Ensemble				200	200
Jewelry				1,000	1,000
Keyboard Ensemble				1,000	1,000
Kinesiology & Health Science	22,566				22,566
LMB Sales				2,500	2,500
Languages, Culture & Communication	42,537				42,537
Lumberjack Learning Commons	196,972				196,972
Mass Communications	165,000				165,000
Math & Stats	65,000				65,000
Mgt Mkg and Intl Business	271,007				271,007
Military Science	40,365				40,365
Music	225,000			15,100	240,100
Music Preparatory				110,100	110,100
Office of Diversity, Equity & Inc	11,529	154,100			165,629
Office of General Counsel	401,671				401,671
Office of the President	263,732			30,000	293,732
Opera Singers				1,500	1,500
Orchestra				25,250	25,250
Orientation Programs				404,400	404,400
Other Utilities O&M		521,335			521,335
Outside Investments				200,000	200,000
Payroll	78,566	68,062			146,628
Physical Plant		885,793			885,793
Physics, Engineering and Astronomy				15,500	15,500
Planetarium				33,350	33,350
Post Office	49,916				49,916
Poultry Farm				180,000	180,000
Pre-Law Academy				38,750	38,750
Presidents Home	45,625				45,625
Procurement & Business Services	546,162	131,208			677,370
Property Deposit Scholarship				45,000	45,000
Property Services				15,000	15,000
Property and Casualty	550,000				550,000
Provost & VP Academic Affairs	12,015,782		1,825,138		13,840,920
Purple Premium Cattle				25,200	25,200
Purple Promise				100,000	100,000
Quality Assurance System Fee				70,668	70,668
Quantity Foods Lab				26,800	26,800
RHA Safety				500	500
Registrar	524,372			50,000	574,372
Research & Sponsored Programs	286,998				286,998

Department	Designated Tuition	University Services Fee	Differential Tuition	Other Income	TOTALS
Research Enhancement	209,343				209,343
Risk Management	10,000				10,000
SFA Achievement Scholarship	200,000				200,000
SFA Arboretum-Creech	37,952				37,952
SFA Press				160,000	160,000
SFA STEM Scholarships				200,000	200,000
SORM	310,000				310,000
STEM Center	38,000			240,000	278,000
Safety and Risk Management	186,653	115,000			301,653
School Psychology Assessment Cent				4,500	4,500
School of Honors	28,000				28,000
School of Nursing	181,185			1,000	182,185
Social Work	174,042				174,042
Soil Lab				10,000	10,000
Sound Recording				100	100
Speech Workbook				19,000	19,000
Speech and Hearing Clinic				25,000	25,000
Spirit Flags				5,000	5,000
Staff Council	2,000				2,000
Stone Fort Museum	2,726			2,100	4,826
Student Conduct and Outreach	121,125				121,125
Student Publications		123,248			123,248
Student Success Center		15,389			15,389
Student Support Center	39,200	276,319			315,519
Sustainability				113,376	113,376
TX Rangers Scholarship	1,000				1,000
Telecommunication & Networking		1,589,565			1,589,565
Theatre	45,000			18,500	63,500
Title IX Compliance	220,565				220,565
Treasury & Student Business Svcs	101,874	56,240		274,300	432,414
Tuition Rebates	692,000				692,000
UA Divisional Vehicle				100	100
UPD Public Safety	50,000				50,000
UPD Training				1,000	1,000
Univ Res Hall Scholarship	500,000				500,000
University Expenditures	233,600				233,600
University Marketing Communications	1,702,841	352,216		2,500	2,057,557
University Police Department	66,831	553,368			620,199
University Revenues		1,380,314			1,380,314
University Support	65,000				65,000
Utilities	524,825	1,640,143			2,164,968

Department	Designated Tuition	University Services Fee	Differential Tuition	Other Income	TOTALS
VP Finance & Administration	253,749			330,000	583,749
VP Student Affairs	142,586				142,586
VP for University Advancement	54,700				54,700
VPFA Programming	150,379				150,379
VSIP Discretionary Reinvestment	465,891				465,891
Totals	51,407,066	18,233,002	2,147,222	11,376,513	83,163,802

Stephen F. Austin State University
Budget Summary
190 Designated Programs
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
AARC	0	220,570	39,585	0	0	0	0	0	0	0	260,155
ASEP TEA Technology Fee	0	0	0	0	0	0	0	21,140	0	0	21,140
Academic Advising	0	116,000	86,633	0	0	0	0	0	0	0	202,633
Academic UG Scholarship	0	0	0	0	0	0	0	3,750,000	0	0	3,750,000
Accounting	200,000	0	0	0	0	0	0	0	0	0	200,000
Administrative Support	0	0	0	0	0	0	0	37,380	0	0	37,380
Admissions	0	597,196	777,811	32,000	3,223	0	96,137	444,642	0	0	1,951,009
Advancement Services	0	98,332	69,200	0	0	0	0	0	0	0	167,532
Agriculture	0	0	0	0	0	0	0	20,000	0	0	20,000
Anthropology, Geography and Sociolo	54,000	0	0	0	0	0	0	0	0	0	54,000
Art	107,827	0	39,523	0	0	0	0	0	0	0	147,350
Art Academy	0	0	0	0	0	0	0	6,000	0	0	6,000
Art Education	0	0	0	0	0	0	0	5,000	0	0	5,000
Arts Information Ofc	0	0	0	0	0	0	0	7,000	0	0	7,000
Audit Services	0	296,879	0	0	0	0	0	99,364	5,420	0	401,663
Auto Liability	0	0	0	0	0	0	0	129,248	0	0	129,248
Axe Handle	0	48,000	0	0	0	0	0	0	0	0	48,000
Bands	57,490	0	0	0	0	0	17,247	155,263	0	0	230,000
Banner Project Management	0	181,000	0	0	0	0	0	108,734	0	0	289,734
Biology	126,005	0	0	0	0	0	0	0	0	0	126,005
Board of Regents	0	49,000	0	0	0	0	0	44,520	0	0	93,520
Budget Office	0	62,000	0	9,000	0	0	0	6,600	0	0	77,600
Building Maintenance	0	76,029	1,211,702	0	0	0	0	59,000	0	0	1,346,731
Bus Communication and Legal Studies	384,738	0	0	0	0	0	0	0	0	0	384,738
COE Academic Services	0	84,354	37,000	0	0	0	0	0	0	0	121,354
COE Assessment and Accountability	0	0	47,538	0	0	0	0	0	0	0	47,538
CPM Program	0	0	0	0	0	0	0	45,000	0	0	45,000
Campus Rec Equipment Replacement	0	0	0	0	0	0	0	155,497	0	0	155,497
Campus Recreation	0	477,681	192,429	390,881	10,960	0	200,408	1,705,919	0	0	2,978,278
Campus Recycling	0	0	0	0	0	0	0	5,000	0	0	5,000
Capital Campaign	0	0	0	0	0	0	0	123,980	0	0	123,980
Carpenters	0	0	0	0	0	0	0	-120	0	0	-120
Cattle Development	0	0	0	0	0	0	0	4,000	0	0	4,000
Center for Teaching and Learning	0	384,768	300,000	30,000	0	0	0	75,854	0	0	790,622

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Central Stores	0	0	77,817	11,593	0	0	0	15,901	0	0	105,311
Centralized Benefits	0	0	0	0	380,500	0	7,521,962	0	0	0	7,902,462
Chemistry	95,271	0	35,000	0	0	0	0	100	0	0	130,371
Childrens Performing Arts	0	5,978	0	0	238	0	1,793	33,991	0	0	42,000
Choirs	0	0	0	0	0	0	0	51,450	0	0	51,450
Cnt for Career and Prof Dev	0	139,000	0	15,440	0	0	0	45,000	0	0	199,440
Cole Audiological Lab	0	88,633	0	0	1,220	0	26,590	183,557	0	0	300,000
Community Garden-Sprout	0	0	0	0	0	0	0	8,000	0	0	8,000
Computer Science	140,000	0	0	0	0	0	0	0	0	0	140,000
Counseling Clinic	0	0	0	0	0	0	0	3,500	0	0	3,500
Counseling Services	0	371,399	0	8,160	0	0	0	64,098	0	0	443,657
Criminal Justice	0	0	0	0	0	0	0	300	0	0	300
Custodial O&M	0	0	0	0	0	0	0	-6,460	0	0	-6,460
Custodial Services	0	0	46,001	79,997	0	0	0	25,966	0	0	151,964
Custodial Services	0	0	52,474	0	0	0	0	24,400	0	0	76,874
DEXA	0	0	0	0	0	0	0	200	0	0	200
Dance Production	0	0	0	0	0	0	0	1,760	0	0	1,760
Dean College of Business	85,000	141,179	86,570	0	0	0	0	0	0	0	312,749
Dean College of Education	0	170,051	90,150	0	0	0	0	0	0	0	260,201
Dean College of Fine Arts	0	0	40,752	0	0	0	0	0	0	0	40,752
Dean College of Forestry and Ag	0	0	0	0	0	0	0	400	0	0	400
Dean College of Sciences & Math	0	48,868	42,500	0	0	0	0	0	0	0	91,368
Dean Liberal and AAS	0	170,000	0	0	0	0	0	0	0	0	170,000
Dean of Students	0	30,000	11,649	0	0	0	0	0	0	0	41,649
Development	0	437,331	41,000	0	0	0	0	24,579	0	0	502,910
Director University Library	45,000	596,002	175,639	0	0	0	0	1,700	0	0	818,341
Disability Services	0	178,486	89,000	27,558	0	0	0	16,903	0	0	311,947
Early Childhood Lab	0	0	0	0	0	0	0	21,600	0	0	21,600
Eco - 339 Note Packets	0	0	0	0	0	0	0	10,000	0	0	10,000
Economics and Finance	134,879	0	0	0	0	0	0	0	0	0	134,879
Education Studies	182,977	52,049	62,000	0	0	0	0	0	0	0	297,026
Educator Cert Application Fee	0	0	0	0	0	0	0	61,000	0	0	61,000
Emergency Management Ops	0	0	0	0	0	0	0	4,250	0	0	4,250
Employee Blanket Bond Insurance	0	0	0	0	0	0	0	35,000	0	0	35,000
Employee Ed Asst Plan	0	0	0	0	0	0	0	250,000	0	0	250,000
Employee Wellness Program	0	43,415	0	0	0	0	0	1,000	0	0	44,415
English and Creative Writing	391,671	0	2,268	0	0	0	0	890	0	0	394,829
Env Sci Sales & Service	0	0	0	0	0	0	0	300	0	0	300
Equine Center	0	0	0	0	0	0	0	33,000	0	0	33,000

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Equine Riding Lesson Program	0	0	0	0	0	0	0	5,000	0	0	5,000
Family Weekend	0	0	0	0	0	0	0	2,400	0	0	2,400
Finance & Admin Services	0	270,750	0	0	0	0	0	135,767	0	0	406,517
Financial Aid	0	0	0	0	0	0	0	9,219,744	0	0	9,219,744
Financial Aid ACA	0	60,915	0	0	1,583	0	18,502	0	0	0	81,000
Financial Aid Operations	0	47,643	35,700	500	0	0	0	39,103	9,000	0	131,946
Financial Reporting	0	354,099	0	0	0	0	0	200	0	0	354,299
Food Plots and Supp Feeding	0	0	0	0	0	0	0	100	0	0	100
Food Service ECHL	0	0	22,109	0	0	0	6,633	39,538	0	0	68,280
Forestry	188,513	0	30,244	0	0	0	0	0	0	0	218,757
Forestry GIS Lab	0	0	0	0	0	0	0	200	0	0	200
Freshman & Transfer Seminars	10,000	0	0	0	0	0	0	0	0	0	10,000
General Contingency	0	0	0	0	0	0	0	2,233,170	0	0	2,233,170
General Services	0	68,646	316,241	0	0	0	0	49,040	0	0	433,927
Geology	64,000	0	0	0	0	0	0	25,000	0	0	89,000
Government	0	0	0	0	0	0	0	6,000	0	0	6,000
Graduate Application Fee	0	0	27,000	0	0	0	0	52,112	0	0	79,112
Graduate School	0	170,000	0	0	0	0	0	0	0	0	170,000
Grounds Care	0	0	0	0	0	0	0	-120	0	0	-120
Grounds Maintenance	0	66,940	362,956	0	0	0	0	122,518	0	0	552,414
Health and Wellness Education	0	0	0	6,000	0	0	0	0	0	0	6,000
Heifer Development	0	0	0	0	0	0	0	25,000	0	0	25,000
Heritage Research Center	25,928	54,456	0	0	0	0	0	900	0	0	81,284
History	0	0	41,000	0	0	0	0	0	0	0	41,000
Human Resources	0	309,505	249,000	22,618	0	0	0	51,519	1,820	0	634,462
Human Sciences	85,000	0	0	0	0	0	0	8,000	0	0	93,000
Human Services & Ed Leadership	434,861	0	64,800	0	0	0	0	0	0	0	499,661
IDC Revenues	0	0	0	0	0	0	0	165,000	0	0	165,000
ITS Academic Support	0	66,857	78,400	0	0	0	0	20,400	0	0	165,657
ITS Information Security	0	336,274	46,556	0	0	0	0	91,880	0	0	474,710
ITS Wepa Student Printing	0	0	0	0	0	0	0	10,000	0	0	10,000
Information Tech Svcs	0	1,705,007	47,250	0	0	0	0	959,359	0	0	2,711,616
Institutional Memberships	0	0	0	0	0	0	0	70,000	0	0	70,000
Institutional Research	0	278,969	0	0	0	0	0	1,000	0	0	279,969
Insurance	0	0	0	0	0	0	784,667	0	0	0	784,667
International Programs	0	0	68,500	0	0	0	0	75,552	0	0	144,052
International Student Applications	0	0	0	0	0	0	0	5,000	0	0	5,000
Investment Income Bank	0	0	0	0	0	0	0	100,000	0	0	100,000
Jack Camp	0	0	0	5,500	0	0	0	90,849	0	0	96,349

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Jazz Ensemble	0	0	0	0	0	0	0	200	0	0	200
Jewelry	0	0	0	0	0	0	0	1,000	0	0	1,000
Keyboard Ensemble	0	0	0	0	0	0	0	1,000	0	0	1,000
Kinesiology and Health Science	0	0	22,566	0	0	0	0	0	0	0	22,566
LMB Sales	0	0	0	0	0	0	0	2,500	0	0	2,500
Languages, Culture & Communication	0	0	42,537	0	0	0	0	0	0	0	42,537
Lumberjack Learning Commons	0	163,175	33,797	0	0	0	0	0	0	0	196,972
Mass Communications	165,000	0	0	0	0	0	0	0	0	0	165,000
Math & Stats	65,000	0	0	0	0	0	0	0	0	0	65,000
Mgt Mkg and Intl Business	271,007	0	0	0	0	0	0	0	0	0	271,007
Military Science	0	0	40,365	0	0	0	0	0	0	0	40,365
Music	225,000	0	0	0	0	0	0	15,100	0	0	240,100
Music Preparatory	0	10,000	26,227	6,000	0	0	10,868	57,005	0	0	110,100
Office of Diversity, Equity & Inclu	0	110,000	44,100	0	0	0	0	11,529	0	0	165,629
Office of General Counsel	0	386,400	0	0	0	0	0	9,171	6,100	0	401,671
Office of the President	0	191,825	33,787	0	0	0	0	57,320	10,800	0	293,732
Opera Singers	0	0	0	0	0	0	0	1,500	0	0	1,500
Orchestra	0	0	0	0	0	0	0	25,250	0	0	25,250
Orientation Programs	0	125,560	37,525	51,200	2,980	0	48,926	138,209	0	0	404,400
Other Utilities O&M	0	55,400	47,295	0	0	0	0	418,640	0	0	521,335
Outside Investments	0	0	0	0	0	0	0	200,000	0	0	200,000
Payroll	0	68,062	78,566	0	0	0	0	0	0	0	146,628
Physical Plant	0	552,994	106,115	11,433	0	0	0	215,251	0	0	885,793
Physics, Engineering and Astronomy	0	0	0	0	0	0	0	15,500	0	0	15,500
Planetarium	0	0	0	1,500	0	0	0	31,850	0	0	33,350
Post Office	0	24,750	25,166	0	0	0	0	0	0	0	49,916
Poultry Farm	29,388	0	0	0	600	0	8,816	141,196	0	0	180,000
Pre-Law Academy	0	0	0	0	0	0	0	38,750	0	0	38,750
Presidents Home	0	0	0	0	0	0	0	45,625	0	0	45,625
Procurement & Business Services	0	384,066	270,604	12,839	0	0	0	9,561	300	0	677,370
Property Deposit Scholarship	0	0	0	0	0	0	0	45,000	0	0	45,000
Property Services	0	0	0	3,000	0	0	0	12,000	0	0	15,000
Property and Casualty	0	0	0	0	0	0	0	550,000	0	0	550,000
Provost & VP Academic Affairs	7,001,089	1,026,745	57,796	0	0	0	1,175,977	4,579,313	0	0	13,840,920
Purple Premium Cattle	0	0	0	0	0	0	0	25,200	0	0	25,200
Purple Promise	0	0	0	0	0	0	0	100,000	0	0	100,000
Quality Assurance System Fee	0	0	0	0	0	0	0	70,668	0	0	70,668
Quantity Foods Lab	0	0	0	0	0	0	0	26,800	0	0	26,800
RHA Safety	0	0	0	0	0	0	0	500	0	0	500

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Registrar	0	210,458	299,874	29,000	1,836	0	11,074	19,350	2,780	0	574,372
Research & Sponsored Programs	0	250,349	36,649	0	0	0	0	0	0	0	286,998
Research Enhancement	62,700	0	0	0	0	0	2,000	144,643	0	0	209,343
Risk Management	0	0	0	0	0	0	0	10,000	0	0	10,000
SFA Achievement Scholarship	0	0	0	0	0	0	0	200,000	0	0	200,000
SFA Arboretum-Creech	0	0	37,952	0	0	0	0	0	0	0	37,952
SFA Press	0	42,065	0	0	0	0	12,620	105,315	0	0	160,000
SFA STEM Scholarships	0	0	0	0	0	0	0	200,000	0	0	200,000
SORM	0	0	0	0	0	0	0	310,000	0	0	310,000
STEM Center	0	0	38,000	0	0	0	0	240,000	0	0	278,000
Safety and Risk Management	0	199,566	19,166	5,881	0	0	0	77,040	0	0	301,653
School Psychology Assessment Center	0	0	0	0	0	0	0	4,500	0	0	4,500
School of Honors	0	0	28,000	0	0	0	0	0	0	0	28,000
School of Nursing	112,000	0	69,185	0	0	0	0	1,000	0	0	182,185
Social Work	174,042	0	0	0	0	0	0	0	0	0	174,042
Soil Lab	0	1,444	0	0	8	0	433	8,115	0	0	10,000
Sound Recording	0	0	0	0	0	0	0	100	0	0	100
Speech Workbook	0	0	0	0	0	0	0	19,000	0	0	19,000
Speech and Hearing Clinic	0	0	0	0	0	0	0	25,000	0	0	25,000
Spirit Flags	0	0	0	0	0	0	0	5,000	0	0	5,000
Staff Council	0	0	0	0	0	0	0	2,000	0	0	2,000
Stone Fort Museum	0	2,726	0	0	0	0	0	2,100	0	0	4,826
Student Conduct and Outreach	0	107,000	0	8,500	0	0	0	5,625	0	0	121,125
Student Publications	0	79,543	43,705	0	0	0	0	0	0	0	123,248
Student Success Center	0	15,389	0	0	0	0	0	0	0	0	15,389
Student Support Center	0	111,200	77,864	95,255	0	0	0	31,200	0	0	315,519
Sustainability	0	0	0	0	0	0	0	113,376	0	0	113,376
TX Rangers Scholarship	0	0	0	0	0	0	0	1,000	0	0	1,000
Telecommunication & Networking	0	480,354	434,760	0	0	0	0	674,451	0	0	1,589,565
Theatre	0	45,000	0	0	0	0	0	7,500	11,000	0	63,500
Title IX Compliance	0	174,800	0	0	0	0	0	45,765	0	0	220,565
Treasury & Student Business Svcs	0	307,710	41,000	0	5,265	0	78,439	0	0	0	432,414
Tuition Rebates	0	0	0	0	0	0	0	692,000	0	0	692,000
UA Divisional Vehicle	0	0	0	0	0	0	0	100	0	0	100
UPD Public Safety	0	0	0	0	0	0	0	50,000	0	0	50,000
UPD Training	0	0	0	0	0	0	0	1,000	0	0	1,000
Univ Res Hall Scholarship	0	0	0	0	0	0	0	500,000	0	0	500,000
University Expenditures	0	0	0	0	0	0	0	233,600	0	0	233,600

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
University Marketing Communications	0	869,845	428,786	7,504	0	0	0	744,859	6,563	0	2,057,557
University Police Department	0	126,223	466,991	0	0	10,480	0	16,505	0	0	620,199
University Revenues	0	0	0	0	0	0	0	1,380,314	0	0	1,380,314
University Support	0	0	0	0	0	0	0	65,000	0	0	65,000
Utilities	0	0	0	0	0	0	0	2,164,968	0	0	2,164,968
VP Finance & Administration	0	8,021	54,000	0	0	0	0	521,728	0	0	583,749
VP Student Affairs	0	82,500	58,136	0	0	0	0	1,950	0	0	142,586
VP for University Advancement	0	0	54,700	0	0	0	0	0	0	0	54,700
VPFA Programming	0	150,379	0	0	0	0	0	0	0	0	150,379
VSIP Discretionary Reinvestment	0	0	0	0	0	0	0	465,891	0	0	465,891
*TOTAL 190 Designated Programs	10,918,386	15,317,810	8,099,211	871,359	408,413	10,480	10,023,092	37,461,270	53,783	0	83,163,802

Stephen F. Austin State University
Budget Summary - Non-Pledged Auxiliary Funds
Fiscal Year 2022-23

Source and Application of Funds

Department	Designated Tuition	University Services Fee	Student Service Fee	Ticket Sales	Game Guarantees	NCAA Revenue	Concessions	Other Income Transfers	TOTALS
AXE Programming			20,158						20,158
Alumni Relations	210,082								210,082
Athletic Facilities		498,195						25,000	523,195
Athletic Misc. Exp. Schlp			91,792						91,792
Athletic Ticket Office								25,000	25,000
Athletic Training	365,767.0								365,767
Athletic Training Medical	280,000.0		20,000						300,000
Athletic Training Student Trainer	4,500.0		9,000						13,500
Athletics Director	1,500.0		45,000						46,500
Athletics Wellness Center		120,940							120,940
Bands	55,290		174,191						229,481
Baseball Operations	317,151.0			10,500					327,651
Baseball Recruiting	15,675.0								15,675
Baseball Scholarships	244,381.0								244,381
Baseball Travel	108,500.0								108,500
Beach Volleyball Operations	54,000.0								54,000
Beach Volleyball Recruiting	10,000.0								10,000
Beach Volleyball Scholarships	90,000.0								90,000
Beach Volleyball Travel	35,000.0								35,000
Centralized Benefits	1,756,654.0							2,100	1,758,754
Cnt for Career and Prof Dev			22,480						22,480
Dance Production			3,910						3,910
Evening Shuttle Service			48,875						48,875
Football Operations	644,032.0			125,000	444,000		15,000	345,250	1,573,282
Football Recruiting	75,000.0								75,000
Football Scholarships	1,601,393.0		218,488						1,819,881
Football Travel	185,000.0					30,000			215,000
Fraternity/Sorority Life			14,663						14,663
Gallery			35,636						35,636
Game Operations	407,276.0								407,276
General Contingency	10,373							10,090	20,463
Health Services	107,066		644,591					85,000	836,657
Homecoming			14,663					2,000	16,663
Intercollegiate Athletics	147,894.8	217,893				640,000		2,078,055	3,083,843
Jack SORC			5,376						5,376
Leadership and Service			31,769						31,769
Lumberjack Culture Assoc			4,888						4,888
Mens Basketball Operations	690,178.0			90,000	81,000	181,000	15,000		1,057,178
Mens Basketball Recruiting	145,000.0								145,000
Mens Basketball Scholarships	221,593.0		43,298			39,000			303,891
Mens Basketball Travel	175,750.0								175,750
Mens Golf Operations	36,077.0								36,077
Mens Golf Recruiting	1,250.0								1,250
Mens Golf Scholarships	74,824.0		19,168						93,992
Mens Golf Travel	35,800.0								35,800
Mens Track Operations	182,646.0								182,646
Mens Track Recruiting	7,362.0								7,362
Mens Track Scholarships	179,940.0		83,240						263,180
Mens Track Travel	114,073.0								114,073
Mobile Suite Units								5,000	5,000
Multicultural Affairs	89,132		177,288						266,420
Music			88,450						88,450
Orientation Programs			8,143						8,143
Pep Band			21,505						21,505

Department	Designated Tuition	University Services Fee	Student Service Fee	Ticket Sales	Game Guarantees	NCAA Revenue	Other Income Concessions	Other Income Transfers	TOTALS
Physical Plant	43,000								43,000
Pressbox Operations								70,000	70,000
Purple Haze			17,595						17,595
Road Bus	53,292							60,000	113,292
SAA Major Events			63,538					92,000	155,538
SAA Programming	8,400		31,280					2,500	42,180
SGA			32,054						32,054
SGA University Speaker Series			14,663						14,663
SORF			53,763						53,763
SSF Student Travel			29,325						29,325
Softball Operations	246,473.0			4,000					250,473
Softball Recruiting	8,075.0								8,075
Softball Scholarships	161,848.0		88,800						250,648
Softball Travel	62,500.0								62,500
Spirit Programs	4,676		240,465						245,141
Sports Clubs			48,875						48,875
Student Athlete Initiatives	45,956.0								45,956
Student Athletic Success	16,620.0								16,620
Student Awards			6,843						6,843
Tennis Operations	63,880.0								63,880
Tennis Recruiting	8,000.0								8,000
Tennis Scholarships	143,838.0		44,400						188,238
Tennis Travel	27,075.0								27,075
The Axes			14,663						14,663
Theatre			63,538						63,538
Title IX Compliance			48,086						48,086
Transportation	49,909		64,759					15,000	129,668
Twirl O Jacks			13,548						13,548
University Police Department			14,663					4,839	19,502
University Series	1,898	27,394	58,644					40,000	127,936
Veterans Resource Center			62,560						62,560
Volleyball Operations	176,526.0			4,000					180,526
Volleyball Recruiting	14,130.0								14,130
Volleyball Scholarships	215,705.0		78,024						293,729
Volleyball Travel	111,125.0								111,125
Womens Basketball Operations	552,480.0		11,560	30,000					594,040
Womens Basketball Recruiting	41,000.0								41,000
Womens Basketball Scholarships	274,863.0		75,000						349,863
Womens Basketball Travel	92,500.0								92,500
Womens Bowling Operations	89,868.0								89,868
Womens Bowling Recruiting	4,500.0								4,500
Womens Bowling Scholarships	90,938.0		10,000						100,938
Womens Bowling Travel	77,900.0								77,900
Womens Golf Operations	77,897.0								77,897
Womens Golf Recruiting	4,000.0								4,000
Womens Golf Scholarships	81,992.0		12,000						93,992
Womens Golf Travel	32,000.0								32,000
Womens Soccer Operations	183,500.0			1,500					185,000
Womens Soccer Recruiting	9,000.0								9,000
Womens Soccer Scholarships	242,192.0		50,230						292,422
Womens Soccer Travel	50,000.0								50,000
Womens Track Operations	182,526.0								182,526
Womens Track Recruiting	8,075.0								8,075
Womens Track Scholarships	265,971.0		100,000						365,971
Womens Track Travel	159,775.0								159,775
TOTALS	12,664,063	864,422	3,195,442	265,000	525,000	890,000	30,000	2,861,834	21,295,762

Stephen F. Austin State University
Budget Summary
170 Non Pledged Auxiliary
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
AXE Programming	0	0	0	10,336	0	0	0	9,822	0	0	20,158
Alumni Relations	0	151,046	59,036	0	0	0	0	0	0	0	210,082
Athletic Facilities	0	6,800	92,595	15,000	0	0	0	408,800	0	0	523,195
Athletic Misc. Exp. Schlp	0	0	0	0	0	0	0	91,792	0	0	91,792
Athletic Ticket Office	0	0	14,000	0	0	0	0	11,000	0	0	25,000
Athletic Training	0	258,137	45,450	0	0	0	0	58,680	3,500	0	365,767
Athletic Training Medical	0	0	0	0	0	0	0	300,000	0	0	300,000
Athletic Training Student Trainers	0	0	0	0	0	0	0	13,500	0	0	13,500
Athletics Director	0	15,000	0	20,000	0	0	0	10,000	1,500	0	46,500
Athletics Wellness Center	0	101,300	0	0	0	0	0	19,640	0	0	120,940
Bands	0	0	36,500	2,000	960	0	10,950	113,671	65,400	0	229,481
Baseball Operations	0	167,901	0	0	0	0	0	159,750	0	0	327,651
Baseball Recruiting	0	0	0	0	0	0	0	5,000	10,675	0	15,675
Baseball Scholarships	0	0	0	0	0	0	0	244,381	0	0	244,381
Baseball Travel	0	0	0	0	0	0	0	35,000	73,500	0	108,500
Beach Volleyball Operations	0	45,000	0	0	0	0	0	9,000	0	0	54,000
Beach Volleyball Recruiting	0	0	0	0	0	0	0	10,000	0	0	10,000
Beach Volleyball Scholarships	0	0	0	0	0	0	0	90,000	0	0	90,000
Beach Volleyball Travel	0	0	0	0	0	0	0	0	35,000	0	35,000
Centralized Benefits	0	0	0	0	51,925	0	1,706,829	0	0	0	1,758,754
Cnt for Career and Prof Dev	0	0	0	22,480	0	0	0	0	0	0	22,480
Dance Production	0	0	0	0	0	0	0	3,910	0	0	3,910
Evening Shuttle Service	0	0	27,377	0	0	0	8,213	13,285	0	0	48,875
Football Operations	0	1,130,400	124,802	0	0	0	0	318,080	0	0	1,573,282
Football Recruiting	0	0	0	0	0	0	0	45,000	30,000	0	75,000
Football Scholarships	0	0	0	0	0	0	0	1,819,881	0	0	1,819,881
Football Travel	0	0	0	0	0	0	0	105,000	110,000	0	215,000
Fraternity/Sorority Life	0	7,025	0	0	0	0	0	7,638	0	0	14,663
Gallery	0	0	0	0	0	0	0	35,636	0	0	35,636
Game Operations	0	2,100	500	17,000	0	0	0	387,676	0	0	407,276
General Contingency	0	0	0	0	0	0	0	20,463	0	0	20,463
Health Services	0	203,055	172,213	0	2,928	0	162,551	295,910	0	0	836,657
Homecoming	0	0	0	0	0	0	0	16,663	0	0	16,663
Intercollegiate Athletics	0	1,002,059	184,515	26,663	0	0	0	1,864,106	6,500	0	3,083,843

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Jack SORC	0	0	0	0	0	0	0	5,376	0	0	5,376
Leadership and Service	0	0	0	0	0	0	0	31,769	0	0	31,769
Lumberjack Culture Assoc	0	0	0	0	0	0	0	4,888	0	0	4,888
Mens Basketball Operations	0	738,568	0	0	0	0	0	318,610	0	0	1,057,178
Mens Basketball Recruiting	0	0	0	0	0	0	0	95,000	50,000	0	145,000
Mens Basketball Scholarships	0	0	0	0	0	0	0	303,891	0	0	303,891
Mens Basketball Travel	0	0	0	0	0	0	0	72,000	103,750	0	175,750
Mens Golf Operations	0	28,697	0	0	0	0	0	7,380	0	0	36,077
Mens Golf Recruiting	0	0	0	0	0	0	0	750	500	0	1,250
Mens Golf Scholarships	0	0	0	0	0	0	0	93,992	0	0	93,992
Mens Golf Travel	0	0	0	0	0	0	0	2,000	33,800	0	35,800
Mens Track Operations	0	157,886	0	0	0	0	0	24,760	0	0	182,646
Mens Track Recruiting	0	0	0	0	0	0	0	1,500	5,862	0	7,362
Mens Track Scholarships	0	0	0	0	0	0	0	263,180	0	0	263,180
Mens Track Travel	0	0	0	0	0	0	0	36,200	77,873	0	114,073
Mobile Suite Units	0	0	0	0	0	0	0	5,000	0	0	5,000
Multicultural Affairs	0	120,027	0	17,092	1,840	0	36,008	91,453	0	0	266,420
Music	0	0	0	0	0	0	0	88,450	0	0	88,450
Orientation Programs	0	0	0	0	0	0	0	8,143	0	0	8,143
Pep Band	0	0	0	10,200	0	0	0	11,305	0	0	21,505
Physical Plant	0	0	0	0	0	0	0	43,000	0	0	43,000
Pressbox Operations	0	0	0	0	0	0	0	70,000	0	0	70,000
Purple Haze	0	0	0	4,400	0	0	0	13,195	0	0	17,595
Road Bus	0	0	32,092	0	0	0	0	81,200	0	0	113,292
SAA Major Events	0	13,500	0	23,500	0	0	0	118,538	0	0	155,538
SAA Programming	0	0	0	3,500	0	0	0	38,680	0	0	42,180
SGA	0	0	0	0	0	0	0	32,054	0	0	32,054
SGA University Speaker Series	0	0	0	0	0	0	0	14,663	0	0	14,663
SORF	0	0	0	0	0	0	0	53,763	0	0	53,763
SSF Student Travel	0	0	0	0	0	0	0	29,325	0	0	29,325
Softball Operations	0	150,953	0	0	0	0	0	99,520	0	0	250,473
Softball Recruiting	0	0	0	0	0	0	0	3,500	4,575	0	8,075
Softball Scholarships	0	0	0	0	0	0	0	250,648	0	0	250,648
Softball Travel	0	0	0	0	0	0	0	32,000	30,500	0	62,500
Spirit Programs	0	61,418	28,788	10,000	2,038	0	27,062	115,835	0	0	245,141
Sports Clubs	0	0	0	0	0	0	0	48,875	0	0	48,875
Student Athlete Initiatives	0	7,500	0	0	0	0	0	38,456	0	0	45,956
Student Athletic Success	0	16,620	0	0	0	0	0	0	0	0	16,620
Student Awards	0	0	0	0	0	0	0	6,843	0	0	6,843

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
Tennis Operations	0	47,000	0	0	0	0	0	16,880	0	0	63,880
Tennis Recruiting	0	0	0	0	0	0	0	2,000	6,000	0	8,000
Tennis Scholarships	0	0	0	0	0	0	0	188,238	0	0	188,238
Tennis Travel	0	0	0	0	0	0	0	1,000	26,075	0	27,075
The Axes	0	0	0	0	0	0	0	14,663	0	0	14,663
Theatre	0	0	0	5,000	0	0	0	58,538	0	0	63,538
Title IX Compliance	0	0	0	9,225	0	0	0	38,861	0	0	48,086
Transportation	0	0	75,124	0	1,200	0	22,537	30,807	0	0	129,668
Twirl O Jacks	0	0	0	0	0	0	0	13,548	0	0	13,548
University Police Department	0	0	0	0	0	0	0	19,502	0	0	19,502
University Series	0	36,721	3,675	10,270	1,562	0	12,119	63,589	0	0	127,936
Veterans Resource Center	0	0	42,000	0	240	0	12,600	7,720	0	0	62,560
Volleyball Operations	0	166,618	0	0	0	0	0	13,908	0	0	180,526
Volleyball Recruiting	0	0	0	0	0	0	0	4,880	9,250	0	14,130
Volleyball Scholarships	0	0	0	0	0	0	0	293,729	0	0	293,729
Volleyball Travel	0	0	0	0	0	0	0	17,000	94,125	0	111,125
Womens Basketball Operations	0	485,000	0	0	0	0	0	109,040	0	0	594,040
Womens Basketball Recruiting	0	0	0	0	0	0	0	14,000	27,000	0	41,000
Womens Basketball Scholarships	0	0	0	0	0	0	0	349,863	0	0	349,863
Womens Basketball Travel	0	0	0	0	0	0	0	57,500	35,000	0	92,500
Womens Bowling Operations	0	53,768	15,000	0	0	0	0	21,100	0	0	89,868
Womens Bowling Recruiting	0	0	0	0	0	0	0	2,000	2,500	0	4,500
Womens Bowling Scholarships	0	0	0	0	0	0	0	100,938	0	0	100,938
Womens Bowling Travel	0	0	0	0	0	0	0	2,000	75,900	0	77,900
Womens Golf Operations	0	62,697	0	0	0	0	0	15,200	0	0	77,897
Womens Golf Recruiting	0	0	0	0	0	0	0	2,000	2,000	0	4,000
Womens Golf Scholarships	0	0	0	0	0	0	0	93,992	0	0	93,992
Womens Golf Travel	0	0	0	0	0	0	0	2,000	30,000	0	32,000
Womens Soccer Operations	0	135,000	0	0	0	0	0	50,000	0	0	185,000
Womens Soccer Recruiting	0	0	0	0	0	0	0	5,000	4,000	0	9,000
Womens Soccer Scholarships	0	0	0	0	0	0	0	292,422	0	0	292,422
Womens Soccer Travel	0	0	0	0	0	0	0	38,000	12,000	0	50,000
Womens Track Operations	0	157,886	0	0	0	0	0	24,640	0	0	182,526
Womens Track Recruiting	0	0	0	0	0	0	0	1,000	7,075	0	8,075
Womens Track Scholarships	0	0	0	0	0	0	0	365,971	0	0	365,971
Womens Track Travel	0	0	0	0	0	0	0	35,200	124,575	0	159,775
*TOTAL 170 Non Pledged Auxiliary	0	5,529,682	953,667	206,666	62,693	0	1,998,869	11,445,750	1,098,435	0	21,295,762

Stephen F. Austin State University
Budget Summary - Pledged Auxiliary Funds
Fiscal Year 2022-23

Source and Application of Funds

Departmet	Parking Fees	Mail Services	Student Center Revenues	Food Service	Housing System	Bookstore Revenues	Other Income Transfers	TOTALS
AARC					26,980			26,980
Admissions Housing Allowances					996,000			996,000
Advancement Services					18,668			18,668
Audit Services					105,016			105,016
Budget Office					26,677			26,677
Card Services			10,000					10,000
Centralized Benefits		18,645	42,592		2,056,652			2,117,889
Cnt for Career and Prof Dev					47,270			47,270
Commencement							180,000	180,000
Dean of Students					79,469	170,901		250,370
Development					40,596		115,000	155,596
Dining Services				11,050,000				11,050,000
Emergency Management Ops					72,000			72,000
Financial Reporting					24,750			24,750
Garbage Crew					85,737			85,737
General Contingency					13,906		515,722	529,628
Grounds					80,000			80,000
Housing Operations					1,307,888		1,013,408	2,321,296
Housing R&R					183,938			183,938
Human Resources					97,155			97,155
ITS Public Safety					133,359			133,359
Information Tech Services					273,080			273,080
Insurance					575,655		1,134,693	1,710,348
Lumberjack Village					5,273,515			5,273,515
Office of Student Engagement					222,991			222,991
Office of the President					310,381			310,381
Other Utilities O&M					150,000			150,000
Parking Services	55,000							55,000
Post Office		126,355						126,355
Printing Services			173,563				15,000	188,563
Procurement & Business Services					134,790			134,790
RHA Programs					16,312			16,312
Residence Life Administration					636,606			636,606
Residence Life Operations					852,450			852,450
SC Other Revenue/IDT					-50,000			-50,000
STEM Housing Allowance					17,408			17,408
Safety and Risk Management					21,780			21,780
Steen Hall 17					2,797,845			2,797,845
Student Center Administration					659,728			659,728
Student Center Operations					37,815			37,815
Student Center Operations					580,000			580,000
Student Center R&R					100,000			100,000
Student Life					164,898			164,898
Student Publications					43,149		53,050	96,199

Departmet	Parking Fees	Mail Services	Student Center Revenues	Food Service	Housing System	Bookstore Revenues	Other Income Transfers	TOTALS
Testing Services					73,341		100,000	173,341
Title IX Compliance			50,000					50,000
Treasury & Student Business Svcs			28,899		23,181			52,080
University Police Department	1,312,100		200,378		134,389		14,000	1,660,867
University Revenues			1,795,813					1,795,813
Utilities				1,912,411	984,922	19,099		2,916,432
VP Finance & Administration			7,660					7,660
VP Student Affairs					246,360			246,360
VP for University Advancement			10,000					10,000
Veterans Resource Center			3,500					3,500
TOTALS	1,367,100	145,000	2,322,405	12,962,411	19,676,657	190,000	3,140,873	39,804,446

Stephen F. Austin State University
Budget Summary
172 Pledged Auxiliary
FY2023

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
AARC	0	0	0	26,980	0	0	0	0	0	0	26,980
Admissions	0	0	0	0	0	0	0	996,000	0	0	996,000
Advancement Services	0	18,668	0	0	0	0	0	0	0	0	18,668
Audit Services	0	105,016	0	0	0	0	0	0	0	0	105,016
Budget Office	0	26,677	0	0	0	0	0	0	0	0	26,677
Card Services	0	0	0	0	0	0	0	10,000	0	0	10,000
Centralized Benefits	0	0	0	0	106,126	0	2,011,764	0	0	0	2,117,889
Cnt for Career and Prof Dev	0	47,270	0	0	0	0	0	0	0	0	47,270
Commencement	0	39,723	10,920	0	2,341	0	15,191	111,825	0	0	180,000
Dean of Students	0	170,000	27,182	5,950	0	0	0	47,238	0	0	250,370
Development	0	0	0	8,525	0	0	0	122,071	25,000	0	155,596
Dining Services	0	0	0	0	0	0	0	11,050,000	0	0	11,050,000
Emergency Management Ops	0	72,000	0	0	0	0	0	0	0	0	72,000
Financial Reporting	0	24,750	0	0	0	0	0	0	0	0	24,750
Garbage Crew	0	0	75,737	0	0	0	0	10,000	0	0	85,737
General Contingency	0	0	0	0	0	0	0	529,628	0	0	529,628
Grounds	0	0	0	0	0	0	0	80,000	0	0	80,000
Housing Operations	0	50,000	1,171,296	300,000	0	0	0	800,000	0	0	2,321,296
Housing R & R	0	0	0	0	0	0	0	183,938	0	0	183,938
Human Resources	0	97,155	0	0	0	0	0	0	0	0	97,155
ITS Public Safety	0	0	128,359	0	0	0	0	5,000	0	0	133,359
Information Tech Svcs	0	240,680	32,400	0	0	0	0	0	0	0	273,080
Insurance	0	0	0	0	0	0	1,710,348	0	0	0	1,710,348
Lumberjack Village	0	0	0	0	0	0	0	5,273,515	0	0	5,273,515
Office of Student Engagement	0	200,098	0	14,493	0	0	0	8,400	0	0	222,991
Office of the President	0	301,381	0	0	0	0	0	9,000	0	0	310,381
Other Utilities O&M	0	0	0	0	0	0	0	150,000	0	0	150,000
Parking Services	0	0	0	0	0	0	0	55,000	0	0	55,000
Post Office	0	20,250	29,070	42,355	0	0	0	34,680	0	0	126,355
Printing Services	0	0	38,563	20,000	0	0	0	130,000	0	0	188,563
Procurement & Business Services	0	102,280	32,510	0	0	0	0	0	0	0	134,790
RHA Programs	0	0	0	0	0	0	0	16,312	0	0	16,312
Residence Life Administration	0	0	0	0	0	0	0	636,606	0	0	636,606
Residence Life Operations	0	447,450	105,000	300,000	0	0	0	0	0	0	852,450

Department	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Hazard Duty Pay	Benefits	Operations & Maintenance	Travel	Capital Outlay	Total
SC Other Revenue/IDT	0	0	0	0	0	0	0	-50,000	0	0	-50,000
STEM Housing Allowance	0	0	0	0	0	0	0	17,408	0	0	17,408
Safety and Risk Management	0	21,780	0	0	0	0	0	0	0	0	21,780
Steen Hall 17	0	0	0	0	0	0	0	2,797,845	0	0	2,797,845
Student Center Administration	0	298,800	160,006	125,000	0	0	0	75,922	0	0	659,728
Student Center Operations	0	0	37,815	0	0	0	0	0	0	0	37,815
Student Center Operations	0	0	0	0	0	0	0	580,000	0	0	580,000
Student Center R & R	0	0	0	0	0	0	0	100,000	0	0	100,000
Student Life	0	105,541	33,372	3,825	0	0	0	22,160	0	0	164,898
Student Publications	0	0	0	13,664	0	0	0	82,535	0	0	96,199
Testing Services	0	57,962	75,959	18,000	0	0	0	21,420	0	0	173,341
Title IX Compliance	0	50,000	0	0	0	0	0	0	0	0	50,000
Treasury & Student Business Svcs	0	52,080	0	0	0	0	0	0	0	0	52,080
University Police Department	0	216,110	1,033,801	29,000	0	14,140	0	367,816	0	0	1,660,867
University Revenues	0	0	0	0	0	0	0	1,795,813	0	0	1,795,813
Utilities	0	0	0	0	0	0	0	2,916,432	0	0	2,916,432
VP Finance & Administration	0	7,660	0	0	0	0	0	0	0	0	7,660
VP Student Affairs	0	146,360	0	0	0	0	0	100,000	0	0	246,360
VP for University Advancement	0	0	0	0	0	0	0	10,000	0	0	10,000
Veterans Resource Center	0	0	0	0	0	0	0	3,500	0	0	3,500
*TOTAL 172 Pledged Auxiliary	0	2,919,691	2,991,990	907,792	108,466	14,140	3,737,303	29,100,064	25,000	0	39,804,446

Stephen F. Austin State University
Budget Summary - Restricted Funds
Fiscal Year 2022-23

Unit	Faculty Regular	Exempt Salaries	Non-Exempt Salaries	Student Wages	Longevity	Benefits	Operations & Maintenance	Travel	TOTAL
Federal Financial Aid									
PELL FY2022							23,000,000		23,000,000
SEOG FY2022							430,577		430,577
TEACH GRANT							410,000		410,000
Work-Study FY2022				586,000					586,000
Total Financial Aid				586,000			23,840,577		24,426,577
Charter School		1,035,049	400,177			537,343	526,109		2,498,678
Grants and Contracts							3,000,000		3,000,000
Gifts and Donations		422,213	211,507		9,866	190,116	5,564,255	10,000	6,407,957
Total Restricted Funds		1,457,262	611,684	586,000	9,866	727,459	32,930,941	10,000	36,333,212

ADOPTION OF THE FISCAL YEAR 2022-23 INSTITUTIONAL OPERATING BUDGET SUPPLEMENT FOR COMPENSATION

Explanation:

The Board of Regents Rules state, "The president shall prepare and submit annually to the board at its April or July meeting, as specified each year by the board, a proposed budget for the operation of the institution for the next fiscal period."

Administration proposed an institutional operating budget for fiscal year 2022-23 of $270,020,925. To support faculty and staff, the administration proposes a one-time use of fund balance/net position of $3,700,000 to supplement the fiscal year 2022-23 institutional operating budget and provide additional faculty and staff compensation.

Recommendation:

The administration recommends approval of a one-time use of fund balance/net position of $3,700,000 for additional faculty and staff compensation. With the supplement of $3,700,000, the fiscal year 2022-23 annual institutional operating budget totals $273,720,925.

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:

EbenConcepts Company
Love Advertising, Inc.

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
July 25, 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: *EbenConcepts Company*

Description of Contract: Athletic excess insurance in accordance with RFP#ATH-INSURE-FY17 opened 5/26/2017. Original term from August 1, 2017 to August 1, 2018 with option to extend for four additional 1-year periods. Includes annual premium, claims and administration fees, and self-insured retention payment pool.

Vendor Awarded Contract: EbenConcepts Company

Procurement Method: Request for Proposal

Department Responsible for Contract: Athletics

Serious issue or risk with contract: None

Total Current Fiscal Year Amount: $479,000.00

Total Estimated Aggregate Amount: $2,127,496.47

Contract Period: 8/1/2017-7/31/2022

Board Approved: Exempt per Policy 1.4–Insurance negotiated or approved by the State Office of Risk Management

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254

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: $350,000.00

Total Estimated Aggregate Amount: $1,750,000.00

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

Board Approved: November 2021, May 2022

Director Certification: Not Applicable

President Attestation: Not Applicable

Statutory Reporting Requirement: Government Code 2261.253, 2261.254

Summary of Contracts

Stephen F. Austin State University

Summary of Contracts

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

Finance Committee -July 25, 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
PeopleAdmin update								
Athletic excess insurance in accordance with RFP#ATH-INSURE-FY17 opened 5/26/2017. Original term from August 1, 2017 to August 1, 2018 with option to extend for four additional 1-year periods. Includes annual premium, claims and administration fees, and self insured retention payment pool.	EbenConcepts Company	Request for Proposal	Athletics	None	$ 479,000.00	$ 2,127,496.47	8/1/2017-7/31/2022	Exempt per Policy 1.4-Insurance Negotiated or approved by the State office of Risk Management
Digital advertising services in accordance with RFP#Media Buy-21, opened 10/6/2021, and agreement dated 01/03/2022. Subsequent amendment executed 6/15/22 for $100,000 per year for up to four additional periods at option of SFA to allow other departments on campus to utilize current contract for digital advertising needs.	Love Advertising, Inc.	Request for Proposal	UMC	None	$ 350,000.00	$ 1,750,000.00	1/03/2022 - 1/02/2027	November 2021, May 2022

GRANT AWARDS

Explanation:

For fiscal year 2022, the multi-year grant award total is currently $82,279,669. Of this total, grant awards allocable to fiscal year 2022 are currently $28,629,387, an increase of $509,457 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 $509,457. The grant awards are detailed as presented.

Report to the Board of Regents – July 2022
Grants[1] awarded between and March 15, 2022 and June 30, 2022

Fiscal Year 2022 – *as of June 30, 2022*

Amounts allocable to FY22 (detailed in this report)	
Federal funds (direct and pass-through)	$ 300,000
State Funds (direct and pass-through)	$ 121,457
Private and Local Government	$ 88,000
TOTAL	**$ 509,457**
New awards, FY22 (detailed in this report, all project years)	**$ 648,085**
Cumulative amount allocable to FY22	**$ 28,629,387**
Cumulative award total FY22, all project years	**$ 82,279,669**
Federal Financial Aid Funds *(not included in ORGS totals)*	*$ 15,300,163*

Federal Financial Aid Funds ***(not included in ORGS totals)***

Agency: Department of Education
Manager*:* Rachele Garrett, Financial Aid

SEOG	FY23 Funds	$ 430,577
FWS	FY23 Funds	$ 586,747
Direct Loans	FY23 Funds	$14,282,839

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

Federal Funds (direct and pass-throughs)

Title **** Texas Transfer Grant***
Sponsor: THECB, Governors Emergency Education Relief Fund through from US Department of Education
Award Term: April 11, 2022 to October 10, 2022
PI/PD: Rachele' Garrett, Financial Aid
Total Award: $200,000 **Amount Allocable to FY22**: $200,000
Student aid for select students vertically transferring to SFASU.

**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 – July 2022
Grants[1] awarded between and March 15, 2022 and June 30, 2022

Title **** SFA Summer STEM Camps FY22 – Investigations in Math and Science (iMAS) Academy***
Sponsor: Texas Workforce Commission (prime - US Department of Health and Human Services)
Award Term: March 14, 2022 to August 31, 2022
PI/PD: Dr. Jana Redfield, STEM Center
Total Award: $100,000 **Amount Allocable to FY22**: $100,000
Funds will provide summer camps with hands-on learning activities, field work opportunities, and industry field trips. The goal is to help increase the number of students interested in STEM careers.

***Subtotal Federal Amounts Allocable to* FY22 *(this report)* = $ 300,000**
***Subtotal New Federal Awards* (*total award*) = $ 300,000**

State Funds (direct and pass-through)

Title **** Population Assessment of Smalleye and Sharpone Shiners in the Brazos River***
Sponsor: University of North Texas (prime - Texas Comptroller of Public Accounts)
Award Term: February 4, 2022 to December 31, 2022
PI/PD: Dr. Carmen Montana-Schalk, Biology
Total Award: $97,911 **Amount Allocable to FY22**: $26,453
Research project to study federally endangered species populations in the Brazos River.

Title **** East Texas Adventurers Girls Environmental Science Academy***
Sponsor: Texas Parks and Wildlife
Award Term: March 1 2022 to September 1, 2023
PI/PD: Dr. Tonya Jeffery, Education Studies
Total Award: $57,674 **Amount Allocable to FY22**: $28,837
Science academy for 6th to 8th grade female students to provide transformational experiences to youth in rural east Texas.

Previously Described Awards:
2021-2023 ESSER Supplemental Grant Program
Lysa Hagan, Charter School
Award Total: $135,042 **Amount allocable to FY22:** $66,167

***Subtotal State Amounts Allocable to* FY22 *(this report)* = $121,457**
***Subtotal New State Awards (total award)* = $290,627**

**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 – July 2022
Grants[1] awarded between and March 15, 2022 and June 30, 2022

Private Entity and Local Government Awards

Title **** Early Childhood Brain Development***
Sponsor: Angelina County & Cities Health District
Award Term: May 1, 2022 to August 31, 2022
PI/PD: Dr. Emmerentie Oliphant, School of Social Work
Total Award: $142,500 **Amount Allocable to FY22**: $38,000
Research project to develop an Early Childhood Brain Development growth strategic plan and form a community coalition for implementation for Angelina County.

Previously Described Awards:
****Department Research Grant: Basic Chemical Research, FY22-25***
Dr. Odutayo Odunuga, Chemistry
Award Total: $150,000 ***Amount allocable to FY22:** $50,000

***Subtotal Private and Local Amounts Allocable to* FY22 *(this report)* = $ 88,000**
***Subtotal New Private and Local Awards (total award)* = $292,500**

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

**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.

TEXPOOL RESOLUTION AMENDING AUTHORIZED REPRESENTATIVES

Explanation:

The university uses TexPool as an investment entity for public fund investments. As a result of university administrative changes, a resolution is necessary to amend authorized institutional representatives. A resolution is presented that revises university authorized investment signatories.

Recommendation:

The administration recommends approval of the TexPool Resolution Amending Authorized Representatives.

Resolution Amending Authorized Representatives

Please complete this form to amend or designate Authorized Representatives. *This document supersedes all prior Authorized Representative forms.*

*** Required Fields**

1. Resolution

WHEREAS,

Stephen F. Austin State University — Participant Name*

7 8 0 5 0 — Location Number*

("**Participant**") is a local government of the State of Texas and is empowered to delegate to a public funds investment pool the authority to invest funds and to act as custodian of investments purchased with local investment funds; and

WHEREAS, it is in the best interest of the Participant to invest local funds in investments that provide for the preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act; and

WHEREAS, the Texas Local Government Investment Pool ("**TexPool / Texpool Prime**"), a public funds investment pool, were created on behalf of entities whose investment objective in order of priority are preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act.

NOW THEREFORE, be it resolved as follows:

A. That the individuals, whose signatures appear in this Resolution, are Authorized Representatives of the Participant and are each hereby authorized to transmit funds for investment in TexPool / TexPool Prime and are each further authorized to withdraw funds from time to time, to issue letters of instruction, and to take all other actions deemed necessary or appropriate for the investment of local funds.

B. That an Authorized Representative of the Participant may be deleted by a written instrument signed by two remaining Authorized Representatives provided that the deleted Authorized Representative (1) is assigned job duties that no longer require access to the Participant's TexPool / TexPool Prime account or (2) is no longer employed by the Participant; and

C. That the Participant may by Amending Resolution signed by the Participant add an Authorized Representative provided the additional Authorized Representative is an officer, employee, or agent of the Participant;

List the Authorized Representative(s) of the Participant. Any new individuals will be issued personal identification numbers to transact business with TexPool Participant Services.

1. Michaelyn Greene — Name; Director of Treasury & Student Business Services — Title
   9 3 6 4 6 8 3 0 0 5 — Phone; 9 3 6 4 6 8 7 0 2 7 — Fax; greenemf@sfasu.edu — Email
   Signature

2. Jacob Seamans — Name; Director of Financial Reporting — Title
   9 3 6 4 6 8 2 3 5 4 — Phone; 9 3 6 4 6 8 7 0 2 7 — Fax; seamansjacob@sfasu.edu — Email
   Signature

3. Steffany Newsome — Name; Assistant Director of Financial Reporting — Title
   9 3 6 4 6 8 2 7 2 2 — Phone; 9 3 6 4 6 8 7 0 2 7 — Fax; newsomess@sfasu.edu — Email
   Signature

Form Continues on Next Page

Resolution Amending Authorized Representatives

Please complete this form to amend or designate Authorized Representatives. *This document supersedes all prior Authorized Representative forms.*

*** Required Fields**

1. Resolution

WHEREAS,

Stephen F. Austin State University — Participant Name*

7 8 0 5 0 — Location Number*

("**Participant**") is a local government of the State of Texas and is empowered to delegate to a public funds investment pool the authority to invest funds and to act as custodian of investments purchased with local investment funds; and

WHEREAS, it is in the best interest of the Participant to invest local funds in investments that provide for the preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act; and

WHEREAS, the Texas Local Government Investment Pool ("**TexPool / Texpool Prime**"), a public funds investment pool, were created on behalf of entities whose investment objective in order of priority are preservation and safety of principal, liquidity, and yield consistent with the Public Funds Investment Act.

NOW THEREFORE, be it resolved as follows:

A. That the individuals, whose signatures appear in this Resolution, are Authorized Representatives of the Participant and are each hereby authorized to transmit funds for investment in TexPool / TexPool Prime and are each further authorized to withdraw funds from time to time, to issue letters of instruction, and to take all other actions deemed necessary or appropriate for the investment of local funds.

B. That an Authorized Representative of the Participant may be deleted by a written instrument signed by two remaining Authorized Representatives provided that the deleted Authorized Representative (1) is assigned job duties that no longer require access to the Participant's TexPool / TexPool Prime account or (2) is no longer employed by the Participant; and

C. That the Participant may by Amending Resolution signed by the Participant add an Authorized Representative provided the additional Authorized Representative is an officer, employee, or agent of the Participant;

List the Authorized Representative(s) of the Participant. Any new individuals will be issued personal identification numbers to transact business with TexPool Participant Services.

1. Steve Westbrook — Name; Interim President — Title
   9 3 6 4 6 8 2 2 0 1 — Phone; 9 3 6 4 6 8 2 2 0 2 — Fax; swestbrook@sfasu.edu — Email
   Signature

2. Gina Oglesbee — Name; Vice President for Finance and Administration — Title
   9 3 6 4 6 8 2 3 5 0 — Phone; 9 3 6 4 6 8 7 0 2 7 — Fax; oglesbeegs@sfasu.edu — Email
   Signature

3. Judith Kruwell — Name; Associate VP for Finance and Administration — Title
   9 3 6 4 6 8 4 5 4 1 — Phone; 9 3 6 4 6 8 7 0 2 7 — Fax; kruwelljf@sfasu.edu — Email
   Signature

Form Continues on Next Page

1. Resolution (continued)

4. Hillary Parrish
Name

Treasury Analyst
Title

9 3 6 4 6 8 4 2 9 0
Phone

9 3 6 4 6 8 7 2 1 3
Fax

hparrish@sfasu.edu
Email

Signature

List the name of the Authorized Representative listed above that will have primary responsibility for performing transactions and receiving confirmations and monthly statements under the Participation Agreement.

Gina Oglesbee
Name

In addition and at the option of the Participant, one additional Authorized Representative can be designated to perform only inquiry of selected information. *This limited representative cannot perform transactions.* If the Participant desires to designate a representative with inquiry rights only, complete the following information.

Amy Mooneyham
Name

Assistant Director of Student Business Services
Title

9 3 6 4 6 8 2 1 1 5
Phone

9 3 6 4 6 8 7 2 1 3
Fax

ammooneyham@sfasu.edu
Email

D. That this Resolution and its authorization shall continue in full force and effect until amended or revoked by the Participant, and until TexPool Participant Services receives a copy of any such amendment or revocation. This Resolution is hereby introduced and adopted by the Participant at its regular/special meeting held on the 2 6 day of July , 2 0 2 2 .

Note: Document is to be signed by your Board President, Mayor or County Judge and attested by your Board Secretary, City Secretary or County Clerk.

Name of Participant*

SIGNED

Signature*

Karen G. Gantt
Printed Name*

Board of Regents Chair
Title*

ATTEST

Signature*

Jennifer Winston
Printed Name*

Board of Regents Secretary
Title*

2. Delivery Instructions

Please return this document to **TexPool Participant Services**:

Email: texpool@dstsystems.com

Fax: 866-839-3291

1-866-TEXPOOL (839-7665) • TexPool.com
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G45340-17 (3/22)

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VENDING SERVICES PROVIDER

Explanation:

Vending services for snack foods on the SFA campus has been out-sourced to Accent Vending since May 2003. SFA exercised the termination clause in Section 7.1.2. of the Vending Services Agreement with an effective termination date of August 31, 2022.

A request for proposals for vending services was issued on April 19, 2022. The five-member evaluation committee reviewed three written proposal responses and participated in presentations by each respondent. An evaluation of the three responses and presentations to this request determined that the proposal submitted by *Gilly Vending, Inc.* provides the best combination of value and service for the university.

The anticipated gross sales are expected to exceed $100,000 annually with a 24% commission of gross sales due to SFA with a minimum guarantee of $35,000 annually.

Recommendation:

The administration recommends the selection of *Gilly Vending, Inc.* as the vending services provider for a five-year term commencing September 1, 2022 through August 31, 2027 and thereafter with an option to extend for an additional 5-year period. The administration further recommends authorization for the president to sign associated contracts in accordance with policy 1.4, Items Requiring Board of Regents Approval.

NETSYNC NETWORK SOLUTIONS CONTRACT – WIRELESS ACCESS POINTS

Explanation:

At its May 2022 meeting, the Board of Regents, in Board Order 22-50, approved funding for renewing the university's institutional license with Cisco for both the use of, and the software support for, our campus wireless network for a five-year period for a total of $1,668,825.

Since state law requires that the Board of Regents approve contracts with a value of more than $1 million, this item to specify the vendor whose contract value will exceed this threshold is presented in order to comply with this requirement. To clarify, there is no additional spending authority in this item, only the designation of the vendor being contracted with.

The vendor contract recommended for approval is from Netsync Network Solutions for a cost not to exceed $1,668,825. This vendor contract is quoted from the Texas Department of Information Resources (DIR) state contract for Cisco systems.

Recommendation:

The administration recommends approval of the Netsync Network Solutions contract for the purchase of a licensing agreement for wireless access points for a five-year period at a cost not to exceed $1,668,825. Auxiliary funds and Higher Education Funds will be used for this purchase. The administration further recommends that the president be authorized to sign all purchase orders and contracts as necessary, in accordance with policy 1.4, Items Requiring Board of Regents Approval.

NETSYNC NETWORK SOLUTIONS CONTRACT – SWITCH SUPPORT

Explanation:

At its April 2022 meeting, in Board Order 22-47, the Board approved upgrading the on-campus residential wireless network at a cost not to exceed $3,200,000. The purchase of certain network hardware, including switch support and licensing for five years associated with this project from one of the vendors, will exceed $1 million. Since state law requires that the Board of Regents approve contracts with a value of more than $1 million, this item to specify the vendor whose contract value will exceed this threshold is presented in order to comply with this requirement. To clarify, there is no additional spending authority in this item, only the designation of the vendor being contracted with.

The vendor contract recommended for approval is with Netsync Network Solutions with a value of $1,913,290.10. This contract is quoted from the Texas Department of Information Resources (DIR) state contract for Cisco systems.

Recommendation:

The administration recommends approval of the Netsync Network Solutions contract for the purchase of network hardware including switch support and licensing for five years to support the residential wireless network at a cost of $1,913,290.10. Auxiliary funds will be used for this purchase. The administration further recommends that the president be authorized to sign all purchase orders and contracts as necessary, in accordance with policy 1.4, Items Requiring Board of Regents Approval.

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:

Agency Funds 3.1
Compliance 2.12
Discretionary Use of University Funds 3.10
Gifts, Loans, Endowments and Bequests 3.17
Interdepartmental Transfer (IDT) 17.9
Items Requiring Board of Regents Approval 1.4
Lumberjack Education Assistance Policy 12.5
Tuition Set-Aside Funds Programs 3.33*
Vendor Protests 16.36

*Note: New Policy

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Agency Funds

Policy Number: 3.1

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: Vice President for Finance and Administration

Purpose of Policy (what does it do): This policy describes the processes for establishing and administering agency funds held by 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, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Agency Funds

Original Implementation: January 20, 1998
Last Revision: July *26~~23~~*, 202*2~~19~~*

Purpose

This policy describes the processes for establishing and administering agency funds held by the university.

Definition

Agency funds - ~~are~~ funds held by the university as custodian or fiscal agent for the benefit of institutionally associated groups or entities that support or enhance the mission of the university.

General

Agency funds are deposited with the university for safekeeping and can be used or withdrawn by the agency fund's authorized representatives at will. All agency funds must be related to the mission of the university. There should be a mutual benefit in having the university act as fiscal agent for the funds. The university, at its sole discretion, will determine whether or not to establish an agency fund or to terminate an existing agency fund.

Examples of agency funds include but are not limited to:

- Employee, student, or alumni organizations or clubs sanctioned by the university;
- Conferences offered by an outside organization and administered by the university;
- Scholarships and loans where the recipients are chosen by an external agency and the funding is given to the university to distribute.

The university reserves the right to commingle agency funds with university funds, which may be deposited in financial institutions approved by the Board of Regents as university depositories. Agency funds will not earn interest or be assessed administrative fees, except for identifiable bank charges directly related to a specific agency fund. Agency funds deposited in financial institutions will be managed at the same level of safekeeping as university funds. Should authorized representatives of an agency fund wish to conduct an independent audit, they may do so by obtaining their own auditor at their own expense.

The agency fund and its authorized representatives must adhere to applicable federal, state, and local laws. Agency funds are subject to review by university and state officials as well as anyone

legally authorized to do so.

Agency Fund Establishment and Disbursements

A request to establish an agency fund is made using procedural guidelines in the ~~controller's~~ office *of financial reporting*. Receipts deposited to agency funds are not considered gifts to the university.

Disbursements from an agency fund are guided by procedures established by and published on the *office of financial reporting's* ~~controller's~~ website.

Negative Balances in Agency Fund Prohibited

Agency funds are not permitted to carry negative balances. Therefore, the university may assess a $25 institutional fine each month an agency fund has a negative balance. Requests for a disbursement from an agency fund will not be processed if the agency fund has a negative balance.

Transfers

Transfers between agency funds and other fund groups are prohibited. Agency funds may be assessed charges from another fund through an interdepartmental transfer provided the agency account representatives agree to the assessed charges.

Dormant Agency Funds

Agency funds that have not had any activity in three years will be closed after efforts to contact the agency account representatives have been made. In instances where there is a legitimate claim to an outstanding balance of the agency fund after it has been closed, the agency fund's authorized representative should contact the ~~controller's~~ office *of financial reporting* to have the university reinstate those funds back into the agency fund and release it to the appropriate representative.

Cross References: Establishing a New Departmental Account: Fund–Organization–Program (FOP) (3.12); ~~Purchase Voucher~~*Direct Pay Disbursements* (17.20)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: *Director of Financial Reporting* ~~Controller~~

Forms: Request to Establish an Agency Account; Purchase Voucher; Request for Disbursement from an Agency Fund

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Compliance

Policy Number: 2.12

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

Date of last revision, if applicable: 11/1/2021

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Policy describes and implements the university's compliance program.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Updates to committee member listings.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Compliance Coordinating Committee
Executive Oversight Compliance Committee
Damon Derrick, General Counsel

Compliance

Original Implementation: July 26, 2016
Last Revision: ~~November 1, 2021~~*July 26, 2022*

INTRODUCTION

This policy sets forth the rules governing the creation, implementation, and periodic evaluation of an institutional compliance program for the university. The program is designed to provide a framework for promoting an organizational culture that: (1) promotes a commitment to ensure the highest level of compliance with all applicable laws and regulations, institutional policies, procedures and other rules governing higher education, including research and health care to the extent applicable and (2) prevents and detects criminal conduct or other conduct inconsistent with an effective compliance program.

DEFINITIONS

A. University - Stephen F. Austin State University (SFA) and all of its components, regardless of the source of funding.
B. Employee - All persons receiving compensation from the university, including faculty, staff, and students. The term also includes any volunteer who provides services to the university through an official arrangement with the university or a university organization.
C. Substantial authority personnel - high-level personnel or individuals who exercise substantial discretion when acting within the scope of their authority.

COMMITTEES

SFA utilizes two committees: Executive Oversight Compliance Committee and Compliance Coordinating Committee.

EXECUTIVE OVERSIGHT COMPLIANCE COMMITTEE

The Executive Oversight Compliance Committee's primary function is to direct policy and instill the importance of compliance in the university community. This committee monitors progress on key compliance initiatives, reviews updates on compliance developments and best practices, and allocates resources as necessary to achieve the compliance program goals. Its members consist of:

1. President
2. Provost and Executive Vice President for Academic Affairs
3. Vice President of Student Affairs
4. Vice President for Finance and Administration
5. Vice President for University Advancement
6. Director of Governmental Relations
7. Executive Director of Enrollment Management

8. Chief Diversity Officer
9. Chief Information Officer
10. Director of Intercollegiate Athletics
11. Chief Marketing Communications Officer
12. Chief Audit Executive (advisory)
13. General Counsel

In exercising its overall responsibility for the university's compliance program, the Executive Oversight Compliance Committee shall be regularly briefed by the chair of the Compliance Coordinating Committee about the content and operation of the program, and also when criminal conduct is discovered.

The Executive Oversight Compliance Committee shall take reasonable steps to:

1. Not include within the substantial authority any individual who has engaged in illegal activities or other conduct inconsistent with an effective compliance program.
2. Communicate periodically and in a practical manner the standards and procedures of the compliance program by conducting effective training programs and otherwise disseminating information appropriate to the respective roles and responsibilities of the entire university community involved in the compliance program. Such training may include informal staff meetings, and monitoring through regular "walk-arounds" or continuous observation while managing a designated compliance area.
3. Ensure that the compliance program is followed including monitoring and auditing to detect illegal activities or other conduct inconsistent with an effective compliance program.
4. Have and publicize a system, which may include mechanisms that allow for anonymity or confidentiality, whereby university employees and agents may report or seek guidance regarding potential or actual criminal conduct or other conduct inconsistent with an effective compliance program without fear of retaliation.
5. Consistently promote and enforce the compliance program throughout the university through appropriate incentives for performing in accordance with the program, and appropriate disciplinary measures for engaging in criminal conduct or other conduct inconsistent with an effective compliance program and for failing to take reasonable steps to prevent or detect such conduct.
6. Respond appropriately after criminal conduct or other conduct inconsistent with an effective compliance program has been detected, including making any necessary modifications to the compliance program to prevent further similar conduct.
7. Assess the risk of criminal conduct or other conduct inconsistent with an effective compliance program and take appropriate action to design, implement, or modify the program to reduce the risk of such conduct identified through this process at least annually.

COMPLIANCE COORDINATING COMMITTEE

The Compliance Coordinating Committee's primary function is to oversee the implementation of the compliance program throughout the university. This committee disseminates information about compliance updates and activities to the responsible parties and keeps those individuals updated on any changes in laws or regulations and makes recommendations to the Executive Oversight Compliance Committee. Its members consist of:

1. General Counsel (Chair)
2. Chief Audit Executive (Advisory)
3. Assistant General Counsels
4. Coordinator of Board Affairs/Compliance
5. Assistant Athletic Director for Compliance
6. ~~Controller~~*Director of Financial Reporting*
7. Director of Procurement and ~~Property~~ *Business* Services
8. Director of Human Resources
9. Director of Environmental Health, Safety, and Risk Management
10. Deputy Chief Information Officer
11. Chief of Police
12. Registrar
13. *Assistant* Director of Financial Aid
14. Compliance Coordinator - Research
15. Chair of the Chairs Forum
16. Chair of the Academic Affairs Policy Committee
17. ~~Executive Director of Development~~
~~18.~~*17.* Assistant Vice President of Student Affairs and Dean of Students
~~19.~~*18.* Title IX Coordinator
~~20.~~*19.* ADA Coordinator
~~21.~~*20.* ~~Associate Director of~~ Admissions *Program Director*
~~22.~~*21.* Associate Vice President for Finance and Administration

The Compliance Coordinating Committee shall be provided adequate resources and appropriate authority to carry out its duties and responsibilities.

A. The General Counsel shall chair the Compliance Coordinating Committee and shall regularly brief the Executive Oversight Compliance Committee and the Board of Regents about the content and operation of the university's compliance program, and also when criminal conduct is discovered.
B. The Compliance Coordinating Committee will utilize a Compliance Matrix to assist the responsible committee members in carrying out their duties. The matrix is designed to further the coordination and documentation efforts of existing and ongoing compliance initiatives and is broken down into different compliance areas assigned to the committee member responsible for ensuring compliance, representative issues associated with the compliance area as well as the applicable laws.
C. The Compliance Coordinating Committee, through its members, shall assist the Executive Oversight Compliance Committee in training the university community which may include informal staff meetings, and monitoring through regular "walk-arounds" or continuous observation while managing a designated compliance area.

D. The Compliance Coordinating Committee is responsible for creating and maintaining a compliance web page on the university's website. At a minimum the web page will include the Compliance Matrix, Compliance Coordinating Committee members, and instructions on how to anonymously and confidentially report suspected fraud or other criminal conduct or conduct inconsistent with an effective compliance program without fear of retaliation.
E. The Compliance Coordinating Committee is responsible for implementing and operating a risk-based process that:
    1. builds compliance consciousness into daily business processes,
    2. monitors the effectiveness of the processes, and
    3. communicates instances of non-compliance to appropriate administrative officers for action.

DEPARTMENT HEAD RESPONSIBILITY

The department head of each operating unit within the university is responsible and shall be held accountable for compliance and compliance-related activities in their respective units. The department head shall maintain documented procedures and records for their activities and areas of responsibility.

PRESIDENT'S CABINET RESPONSIBILITY

Each president's cabinet member is responsible and shall be held accountable for compliance and compliance-related activities in their area of responsibility and will be required to certify compliance at least annually. The Dean of the Office of Research and Graduate Studies will oversee the certification of compliance assurances.

PRESIDENT AND CABINET MEMBERS RESPONSIBILITY

The president and cabinet members are responsible and shall be held accountable for:
1. the sufficiency of resources allocated to compliance activities, and
2. the appropriateness of corrective and disciplinary action taken in the event of noncompliance.

AUDIT SERVICES RESPONSIBILITY

Audit Services may provide advisory or audit services, as necessary and appropriate, to the compliance operations. The chief audit executive is responsible and shall be held accountable for:
1. independently evaluating the design and effectiveness of the various compliance functions as included on the annual audit plan,
2. making recommendations for improvements, as necessary and appropriate, and
3. reporting recommendations to the Board of Regents Finance and Audit Committee and the president.

EMPLOYEE RESPONSIBILITY

Each employee of the university shall be responsible for establishing an organizational culture that encourages compliance with its legal obligations, complying with all applicable federal and state laws and university policies and procedures, meeting and complying with any reporting requirements required by law, and complying with the mandates and standards in this policy.

REPORTING STRUCTURE

The reporting obligations set forth below are to fulfill the purposes of this policy, to enable the university to do a risk assessment to determine if additional resources should be allocated, and to assist the university to respond as needed. These requirements do not replace, change or modify applicable reporting requirements or any other action required of the university under federal or state laws or regulations.

The general counsel and chief audit executive shall report to the Executive Oversight Compliance Committee the workings of the Compliance Coordinating Committee, including agenda items, member concerns, and recommended changes in policies or procedures.

The chair of the Compliance Coordinating Committee shall promptly report to the Executive Oversight Compliance Committee any suspected compliance violation that has caused or poses an imminent risk of injury or harm to persons, property or the surrounding community, or reputational harm, as soon as possible after discovering or receiving the report of the suspected violation.

The general counsel and chief audit executive are responsible to:

1. conduct a compliance program investigation or monitor the investigation conducted by an appropriate operating unit of the suspected violation(s), and
2. as appropriate, make findings and recommendations to the chair of the Board of Regents, chair of the Finance and Audit Committee, and the president.

Cross Reference: U.S. Federal Sentencing Guidelines; Fraud (2.7)

Responsible for Implementation: President

Contact for Revision: General Counsel

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Discretionary Use of University Funds

Policy Number: 3.10

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 that only certain funds can be used for discretionary purposes and provides guidance on how to identify such 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 <u>each</u> substantive revision: Minor changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Discretionary Use of University Funds

Original Implementation: April 23, 2013
Last Revision: ~~April 30, 2019~~ *July 26, 2022*

Purpose

This policy establishes that only certain funds can be used for discretionary purposes~~,~~ and provides guidance on how to identify such funds.

General

Stephen F. Austin State University receives funds from a variety of sources, including state appropriations, tuition and fees, auxiliary revenues, departmental sales and services, grants, and gifts. Most of the funds received are for specific, limited purposes or are subject to restrictions by the Board of Regents, state and federal legislation, and rules of other oversight agencies. Regardless of type, the university uses all funds in a manner consistent with applicable federal and state laws and regulations, university policies, and other restrictions or designations.

Funds that are allowed for discretionary purchases must be used for a valid business purpose. Examples of valid business purposes include, but are not limited to, certain types of business meals, administrative planning retreats, and business travel expenditures. Some examples of funds that may be used for discretionary purposes include discretionary donor gifts to departments, undesignated donations, funds from sales and services, and interest earned on certain institutional funds. Examples of university policies that restrict university expenditures to specific funds include, but are not limited to: Gifts, Prizes and Awards (3.18), Food Purchases (17.6), and Travel (3.29). The ~~controller's~~ office *of financial reporting's* website contains Guidelines for Expenditures from University Funds, Guidelines for Expenditures from University Funds - Summary Chart, and a list of funds that can be used for discretionary purposes.

Cross Reference: Gifts, Prizes and Awards (3.18); Food Purchases (17.6); Travel (3.29); Guidelines for Expenditures from University Funds; Guidelines for Expenditures from University Funds - Summary Chart; Policy 3.18 - Gifts, Prizes and Awards - Summary Chart; Funds that can be used for Discretionary Purposes.

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: ~~Controller~~ *Director of Financial Reporting*, Budget Director

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Gifts, Loans, Endowments, and Bequests

Policy Number: 3.17

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

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

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

Purpose of Policy (what does it do): Guidelines for soliciting, accepting, acknowledging and using gifts, endowments and bequests made to the university.

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

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

☒ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Addition of library gift information from policy 4.11.3 that is to be deleted and moved to Steen Library Procedure Manual.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Affairs Policy Committee
Lorenzo Smith, Provost and Vice President for Academic Affairs
Jill Still, Vice President for University Advancement
Damon Derrick, General Counsel

Gifts, Loans, Endowments, and Bequests

Original Implementation: July 18, 1981
Last Revision: ~~January 28, 2020~~*July 26, 2022*

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

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

1. A gift, loan, endowment or bequest which may require commitment of funds, personnel, space or other resources shall be approved by the president prior to any commitment or action on behalf of the university.

2. The university is authorized, with prior approval of the president and ratification by the Board of Regents, to accept gifts or devises of real property for the establishment of scholarships, professorships and other trusts for educational purposes provided such property will not require appropriations by the legislature for operation, maintenance, repair or construction of buildings.

3. Privacy of donor identity may be granted by the university with the exceptions noted by the Public Information Act or the Internal Revenue Service when public recognition is not desired by the donor.

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

The Office of Development is the primary source of contact with non-university personnel or entities for development-related purposes, including but not limited to stewardship and solicitation of funds. No individual or company may be solicited for any gift, loan, endowment, or bequest by any member of the faculty or staff of the university until that individual has presented the Office of Development with a copy of the proposal or request for funds and has received approval thereof.

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

Solicitation of Gifts

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

1. All university departments, including faculty, staff, students, student organizations (as per policy 10.9, Student Organization Formation and Recognition) and affiliated 501(c)(3) entities are responsible for coordinating and clearing all fundraising projects funded by individuals, foundations and corporations in advance of the fundraising projects in writing. All fundraising projects shall comply with SFA policies and procedures, as well as federal and state laws.

2. If any faculty member, staff member, student or student organization receives any unsolicited question from a prospective donor regarding a possible gift to the university or the Stephen F. Austin State University Foundation, Inc., the Office of Development should be notified of the inquiry as soon as possible following the initial contact.

Acknowledgment of Gifts

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

1. All offices are responsible for forwarding any gifts received to the Office of Development for receipting and reporting purposes or to the bursar’s office (as per policy 3.16, Gift Reporting). This will ensure accurate recording of all support for the university, fulfill the receipting requirements of the Internal Revenue Service, and properly acknowledge that support. Further, all gifts and any accompanying correspondence, instructions, etc., are to be forwarded to the Office of Development for processing. Gifts-in-kind such as equipment, furniture and art objects are to be reported in writing to the Office of Development via the Gifts-in-kind form.

2. Any written statement concerning tax deductibility of contributions must be reviewed and approved by the Office of Development.

Use of Gifts, Loans, Endowments and Bequests

Gifts, loans, endowments and bequests made to Stephen F. Austin State University shall be used for the purpose designated by the donor. If a purpose is not specified by the donor, and the amount of the gift is $500,000 or more, utilization shall be as directed by the Board of Regents after

consideration of recommendations by the president and the vice president for development. If a purpose is not designated, and the amount of the gift is less than $500,000, utilization shall be as directed and approved by the president of the university.

Gifts received by the university and made payable to the Stephen F. Austin State University Foundation, Incorporated, should be forwarded to the Office of Development for transfer and deposit to the foundation. No gifts or bequests to the university may be transferred to the Stephen F. Austin State University Foundation, Inc. or the Stephen F. Austin State University Alumni Association, Inc. without petitioning a court of competent jurisdiction, as outlined under state law. Funds gifted to the university for a restricted purpose are considered a charitable trust. Legal title to such funds cannot be transferred to other entities, except as noted above.

Under the authority of the Board of Regents, the vice president for finance and administration of Stephen F. Austin State University is empowered to negotiate and execute the sale of marketable securities donated to the university when such sale is directed or allowed by the donor of said securities. The proceeds of such sale shall be promptly deposited into a university account, to be used as indicated by the donor. All in-kind gifts of $500,000or more and all real estate gifts (excluding gifts managed by the SFA Real Estate Foundation) would require specific approval by the Board of Regents for liquidation to a university cash account.

Restrictions on the expenditure of gift funds generally reside within the following three criteria:

1. A gift must be expended in accordance with the donor's wishes.
2. The expenditure of the gift funds must be for the demonstrable good of the university.
3. The expenditure must provide no private gain to either the donor or the person controlling the expenditure of the funds.

The use of gift funds must meet all three criteria collectively. Some specific examples of expenditures from unrestricted gifts that may be for the demonstrable good of the university, without private gain for the individual expending the funds, are as follows:

1. awards that recognize or promote faculty development, excellence in teaching, academic achievement, athletic achievement, scholarship, or service;
2. costs related to the promotion of the communication of intellectual ideas among students, faculty, staff and administrators of the university;
3. support of student events and activities sponsored by the university;
4. the recruitment of highly qualified students, faculty and staff;
5. costs related to the promotion of the exchange of ideas with community leaders regarding the role of the university and its programs in the community;
6. costs related to the conduct of accrediting agency visits, visits by other officials from other institutions or representatives outside higher education;
7. costs related to the support of continuing education activities.

Examples of expenditures which may not meet the criteria established are as follows:

1. any expenditure that violates the restriction placed on the gift by the donor;
2. the procurement of private property for the personal, unofficial use of any faculty or staff member;
3. donations or other payments to a political party;
4. any other expenditure expressly prohibited by law.

Questions concerning an expenditure meeting these criteria should be referred to the Office of Development.

Real or personal property acquired through gifts, loans, endowments or bequests is subject to the same management requirements as other state property. Disposal of any property acquired through gifts, loans, endowments or bequests shall be handled in accordance with state law and applicable university policies and procedures. Property acquired through gifts, loans, endowment or bequest cannot be disposed of, sold, or transferred without written permission from the Office of Development and the president.

Conflict of Interest

No employee of the university may accept any gift, loan, endowment, or bequest the purpose of which is to establish or be used, in whole or in part, as a salary supplement for him/herself.

Publicity

The Office of Development, in coordination with the faculty/staff contact person, the donor, and the Office of University Marketing Communications, is responsible for coordinating all publicity related to gifts.

Matching Gifts

Certain foundations and companies provide gifts to the university which match contributions made by their employees. For tax purposes, certification is required from the university that the gift of the employee has been received. The matching gift forms, which certify receipt of the gift, require the signature of the executive director or associate director of development.

Foundation Support

The Office of Development has the responsibility of performing certain support functions for the Stephen F. Austin State University Foundation, Inc. and the SFA Real Estate Foundation, Inc. This includes receiving, receipting, acknowledging, and reporting gifts received by either foundation, as provided in the Agreement between Stephen F. Austin State University and the Stephen F. Austin State University Foundation, Inc. and the Agreement between Stephen F.

Austin State University and the SFA Real Estate Foundation, Inc.

Library

Unrestricted gifts of books and other library related materials to Stephen F. Austin State University, not to include equipment such as tape recorders, etc., will not require the usual approval process as ~~authorized~~ *described* in this policy ~~(See Library Gifts, 4.11.3)~~.

The Ralph W. Steen Library is authorized to determine whether to accept a non-monetary gift on the basis of the needs of the collection, technical processing costs, physical condition, location and space, maintenance requirements, and donor restrictions. The library will determine the retention, cataloging treatment, and other considerations related to the use or disposition of donated materials.

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

The library will not appraise gifts. The cost of any appraisal of non-monetary gifts is the responsibility of the donor.

Definitions

1. Gift. A gift includes the gratuitous transfer of cash, cash equivalents such as securities and negotiable instruments, and real or personal property which generates income or may be sold for cash, for the purpose of enhancing the university and its programs, without expectation of specific benefit by the donor.
2. Loan. Real or personal property furnished for the temporary use of the university.
3. Endowment. An endowment is comprised of a gift, in which the donors have stipulated that the principal must be invested and only the income used to fund a project or need. The principal remains intact in perpetuity, thereby continuing to generate income to be used by the university. Endowment funds are classified into four different categories:
    a. Permanent Endowments. These endowments are sometimes referred to as "true" or "pure" endowments and are assets designated by the donor to be held in perpetuity. If specifically stated in writing by the donor, the corpus assets of this category of endowments may never be spent and income derived must be expended in accordance with the written terms and conditions established by the donor and the university. Otherwise, the governing board may appropriate for expenditure, for the uses and purposes for which the fund is established, the net appreciation, realized and unrealized, in the fair market value of the assets of an endowment fund over the historic dollar value of the fund to the extent allowed under the

University Management of Institutional Funds Act or other applicable law.

b. Term Endowment. In this category of endowments, the donor has specified that following a particular date or event, the assets of the endowment may be expended in accordance with the terms and conditions as specified. Until the passage of the specific date or event, this type of endowment will operate in a manner similar to the permanent endowment with the income used in accordance with the written terms and conditions established by the donor and the university.
c. Quasi-Endowments or Quasi-Funds. The Board of Regents may, with formal action, set aside certain institutional funds to be maintained as endowments. The formal action by the Board of Regents will specify the use of the assets and income derived, and set other terms and conditions relating to the fund. The Board of Regents may, with formal action, change the terms and conditions of the endowment including cessation of the endowment and the return of the assets to the original source of funding, or change the use or purpose as may be appropriate and authorized by law.
d. Funds Held in Trust by Others. Some donors may choose to make income from endowment-type funds available to the university, but will leave the possession of the assets in trust with a third party. In this case, the endowment is not recorded as an asset of the university. In accordance with the Generally Accepted Accounting Principles (GAAP), the existence of the trust must be disclosed in the notes to the university's financial statements.

Amounts associated with fundraising necessary for naming consideration are outlined in the university's Overview of Naming Guidelines and Procedures, available in the office of the vice president for university advancement.

Cross Reference: Tex. Educ. Code §§ 51.001-.009, 95.34, Ch. 101; Uniform Prudent Management of Institutional Funds Act, Tex. Prop. Code Ch. 163; Uniform Prudent Investor Act, Tex. Prop. Code Ch. 117; Texas Public Funds Investment Act, Tex. Gov't Code Ch. 2256; Gift Reporting (3.16); ~~Library Gifts (4.11.3);~~ Student Organization Formation and Recognition (10.9); Overview of Naming Guidelines and Procedures.

Responsible for Implementation: Vice President for University Advancement

Contact for Revision: Vice President for University Advancement

Forms: Gift-in-Kind Form

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Interdepartmental Transfer

Policy Number: 17.9

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

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

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

Purpose of Policy (what does it do): This policy defines and describes the appropriate usage of interdepartmental transfers.

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, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Interdepartmental Transfer (IDT)

Original Implementation: Unpublished
Last Revision: July *26*~~23~~, 202*2*~~19~~

Purpose

This policy defines and describes the appropriate usage of interdepartmental transfers.

Definition

~~An *I*~~interdepartmental transfer (IDT) - ~~is~~ used by a university department to pay for goods and services received from another department. With appropriate documentation, this process provides an internal mechanism to expense and credit university accounts in those exchanges.

General

The department providing the goods or services should initiate the IDT using the procedures established by the ~~controller's~~ office *of financial reporting* and the Interdepartmental Transfer Request form. The initiating department must retain copies of the documentation as required by Records Management (2.9). As with any other purchase, funds must be available in the applicable account.

An IDT is not to be used to shift balances or move budgets from one account to another. An IDT is not to be used to transfer capital equipment from one department to another. Such transfers are handled through *finance and administrative services*~~Procurement and Property Services~~. See Property Inventory and Management (17.14). However, if an exchange of funds is involved in the equipment transfer, an IDT may be used for the transaction.

Departments that initiate IDTs must develop written internal procedures that include:

- a segregation of duties in recording, reconciling, authorizing, and approving IDT transactions;
- IDT documentation, distribution, location, and retention responsibilities;
- a process to review accounts and verify IDT charges and credits.

Cross Reference: Records Management (2.9); Property Inventory and Management (17.14)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: *Director of Financial Reporting* ~~Controller~~

Forms: Interdepartmental Transfer Request available on the SFA Business Forms website

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Items Requiring Board of Regents Approval

Policy Number: 1.4

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

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

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): This policy establishes items and actions that require approval by the Board of Regents. It also specifies items and actions that do not require board approval.

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: Monetary values adjusted to match state law reporting standards, duplication removed that is listed in other policies, and revisions made for clarity.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Kay Johnson, Executive Director of Finance and Administrative Services
Gina Oglesbee, Vice President for Finance and Administration
Steve Westbrook, Interim President
Damon Derrick, General Counsel

Items Requiring Board of Regents Approval

Original Implementation: July 5, 1988
Last Revision: *July 26, 2022~~July 23, 2019~~*

Purpose

This policy establishes items and actions that require approval by the Board of Regents. ~~It also specifies items and actions that do not require board approval~~.

Definitions

Project budget - ~~For purposes state herein, "project budget" is~~ the total of all costs associated with a project.

Contract - a purchase order with or without additional documents including a quote, terms and conditions, agreement, etc.; a contract document outlining ~~all the~~ terms of the agreement and requiring signature. Examples include contracts that the ~~b~~Board of Regents approves, contracts that the president or designee signs, ordinary operating expenses issued by a purchase order, and revenue contracts.

A. Items That Require Approval by the Board of Regents

1. *Contracts with a total cost or value of $~~5~~1,000,000 or more~~.~~*
   All c~~Contract~~*s or agreements*~~s, purchases, or agreements~~ *with a total cost or value of* ~~in the amount of~~ ~~$5~~*1,0*00,000 or more, *unless exempted in Section B below. The total cost or value of the contract includes all potential contract documentation.* ~~and any contractamendment, extension, or renewal that causes the value of the original contract to exceed~~
   a. ~~$500,000, except those items that appear in Section B below~~
   Any amendment, extension, or renewal of a contract with a value that exceeds 25 percent of the value of the original contract previously ~~board~~ approved by the Board of Regents in accordance with Texas Education Code (TEC) 51.9337-(f).
   b. *Any amendment, extension, or renewal of a contract not previously required to be approved by the Board of Regents that cumulatively ~~exceeds~~total $~~5~~1,000,000.*
2. Annual operating budget
3. ~~*Increases in existing*~~ *Annual operating budget ~~s through a "budget adjustment"~~amendments, ~~if cumulatively over~~total $1,0~~5~~00,000, ~~except revolving funds~~*

Long range master plans and strategic plans

~~1.~~*4.*

5. Construction/renovation projects if the estimated cost is $~~500~~*1,000,*000 or more, including:

a. *Total project budget~~,~~ and ~~including~~ adjustments that increase the total Board of Regents approved~~board approved~~ project budget~~.~~*

b. Selection of an architect/engineer~~.~~

c. Construction contract awards including Guaranteed Maximum Price~~.~~

i. Change orders that would increase the cost of the project beyond the amount of the Guaranteed Maximum Price. Board approval of change orders is~~would~~ not ~~be~~ required for budgeted construction contingencies within the Guaranteed Maximum Price.

~~*ii. Authority to submit all construction and/or renovation project proposals, real propertypurchases, and energy savings performance contracts to the Texas Higher Education Coordinating Board (THECB) that require THECB approval, or as otherwise required under law as defined by TEC Chapter 17.*~~

~~*iii.* For projects requiring T*(T*HECB*)* review, a final project close out report entailing a postcompletion evaluation of the project ~~*is required. Format of the report prescribed by the construction manual.*~~ that includes the following elements that must be reported to the Buildings and Grounds Committee: final project cost, summary ofchange orders, existence of any liquidated damages, final HUB participation percentages and total value, summary of approvals from any state or federal agencies having jurisdiction, survey summary of evaluation by end users, and summary of finalinspection punch list for items needing repair. A warranty inspection will be conducted and major warranty repairs summarized for review by the president and chair of the Buildings and Grounds Committee.~~

6. Authority to submit all construction and/or renovation project proposals, real property purchases, and energy savings performance contracts to the Texas Higher Education Coordinating Board (THECB) that require THECB approval, or as otherwise required under law ~~as defined by TEC Chapter 17~~.

~~*For projects requiring THECB review, a final project close out report entailing a post completion evaluation of the project is required. Format of the report prescribed by the construction manual.*~~

~~Delegations of administrative authority, including~~

~~Authority to approve travel~~

~~Authority to approve purchases~~

7. Purchase, sale, or exchange of real property

~~—~~Depository contracts

~~*8.* Food service (or similar) contracts, including changes in existing contracts~~

9. Contracts and agreements with support or development foundations

10. ~~Biennial legislative~~*Legislative appropriations* request*s*

~~b. Authority to submit all construction and/or renovation project proposals, real~~

~~propertypurchases, and energy savings performance contracts to the Texas Higher EducationCoordinating Board (THECB) that require THECB approval, or as otherwise requiredunder law.~~

~~c. Construction contract awards. The Guaranteed Maximum Price must be reported to the Buildings and Grounds Committee at the next possible meeting.~~

~~d. Approval of project budget.~~

~~e. Change orders that would increase the cost of the project beyond the amount of the Guaranteed Maximum Price. Board approval of change orders would not be requiredfor budgeted construction contingencies within the Guaranteed Maximum Price.~~

~~f.~~*a.* ~~For projects requiring THECB review, a final project close-out report entailing a postcompletion evaluation of the project that includes the following elements that must be reported to the Buildings and Grounds Committee: final project cost, summary ofchange orders, existence of any liquidated damages, final HUB participation percentages and total value, summary of approvals from any state or federal agencieshaving jurisdiction, survey summary of evaluation by end users, and summary of finalinspection punch list for items needing repair. A warranty inspection will be conducted and major warranty repairs summarized for review by the president and chair of the Buildings and Grounds Committee.~~

~~2.~~*11.* Actions relating to university employees, including

a. Appointment of full-time faculty
b. Faculty promotions
c. Awarding of faculty tenure
d. Appointment of full-time administrative/professional *(exempt)* staff ~~(exempt)~~ excluding those requiring student status
e. Change of position status of full-time faculty and administrative/professional (exempt) staff
f. Advisement on termination of full-time faculty and administrative/professional (exempt) staff (executive session only, does not require board action for approval)
g. Leaves of absence for faculty and administrative/professional (exempt) staff for one semester (four and one-half months) or more

12. Annual holiday schedule

~~3.~~*1.* ~~Delegations of administrative authority, including~~

~~a. Authority to approve travel~~

~~b.~~*a.* ~~Authority to approve purchases~~

~~4.~~*13.* Policy statements when the effect will be to change admission, probation, or suspension regulations; establish or alter policies, regulations, or rules relating to employment or property rights; govern the activities of the entire university or a major section of the university, such as rules for admission into teacher education or any

other major curriculum; change long standing and well accepted practices or patterns of behavior; or implement rules, regulations or activities established by external authorities

~~5.~~*1.* ~~Contracts, purchases, or agreements in the amount of $500,000 or more, and any contract amendment, extension, or renewal that causes the value of the original contract to exceed $500,000, except those items that appear in Section B below~~

~~6.~~*14.* Any lease of any item (building, equipment, etc.) if the total cost of the lease is expected to be $500,000 or more without regard to the length of the lease period

~~7.~~*1.* ~~Purchase, sale or exchange of real property~~

~~8.~~*1.* ~~Depository contracts~~

~~9.~~*1.* ~~Food service (or similar) contracts, including changes in existing contracts~~

~~10.~~*1.* ~~Contracts and agreements with support or development foundations~~

~~11.~~*15.* Settlements, consent decrees, authority to enter into litigation (executive session only, does not require board action for approval)

~~12.~~*16.* Establishment (or change) of tuition, student fees, room and board fees, and all optional statutory tuition exemptions or waivers. Approval must be provided on no less than an annual basis, or when there is any change to the items listed.

~~13.~~*17.* Curriculum matters, including

a. Establishment or elimination of academic programs
b. Establishment or elimination of courses
c. Major changes in programs or courses

~~14.~~*18.* Designation of a name for university buildings, facilities, streets, etc.

~~15. Annual holiday schedule~~

~~16.~~*19.* Private, governmental, or foundation grants or agreements *of $1 million or more or if the grant commits the university more than five years.* ~~if the purpose of the grant, etc.is not designated ("president's discretion" constitutes a designation)~~

~~17.~~*1.* ~~Annual operating budget~~

~~18. Increases in existing budgets through a "budget adjustment" if over $500,000, exceptrevolving funds~~

~~19. Biennial legislative request~~

~~20. Long range master plans and strategic plans~~

B. *Exceptions*~~Items~~ That Do Not Require Approval by the Board of Regents

~~1. Construction or renovation projects under $500,000~~

~~2. Change orders under $500,000 as long as the approved budget is not exceeded~~

~~3. Appointment, change of status, promotion, termination of non-exempt employees~~

~~4. Appointment, change of status, termination of graduate or student assistants~~

~~5. Resignations~~

~~6. Contracts, purchases, and agreements when the amount is less than $500,000~~

~~7. Budget transfers that do not increase the board approved budget~~

~~8.~~*1.* Private, governmental, and foundation grants, agreements or sub-awards if the purpose of such is stipulated by the grantor. New grants, contracts, agreements or sub-awards are to be submitted to the Board of Regents for ratification on a quarterly basis.

~~9.~~*2.* Materials purchased for resale in auxiliary operations and central stores

~~10.~~*3.* Materials purchased for inventory stock of physical plant, residence life, or student *center* ~~center~~operations, such as custodial cleaning products and paper goods

4. Materials purchased for inventory stock from operation and maintenance budgets previously approved by the board, such as food purchases for the Early Childhood Lab

~~11.~~*5.* Materials or services purchased for emergencies resulting from disasters, hazards, or *other* ~~other~~exigent circumstances

~~12.~~*6.* Library subscription services

~~13.~~*7.* Recurring printing orders

~~14.~~*8.* Contracts and agreements for athletic events, entertainment concerts, fine arts events, *and other* ~~andother~~ similar activities

~~15.~~ Group travel packages for resale

~~16.~~*9.* ~~Materials or services purchased for emergencies resulting from disasters, hazards, or otherexigent circumstances~~

~~17.~~*10.* Outside counsel contracts

~~18.~~*11.* Other items approved by the president of the university which are not listed in Section *A of* ~~Aof~~ this policy

~~19.~~*12.* Specific commodities or service necessary for day-to-day operations *which may aggregate over $*~~5~~*1,000,000 in an annual period*~~of the university:~~*,*~~.~~ *I*~~i~~*ncluding, but not limited to utilities, gasoline, insurance, telecommunications and networking services, preferred or mandatory use vendor contracts, and blanket contracts or standing orders for which multiple purchases are made as needed by departments over the term, including renewals, to include,* ~~-~~*but not limited to, computers, printers, office supplies, promotional products, and routine maintenance products.*

~~a. Water utility~~

~~b. Regulated electricity for beef farm, broiler farm and PWCC~~

~~c. Gasoline for university vehicles~~

~~d. Credit card merchant service fees~~

~~e. Maintenance contracts associated with preventive and/or repair work for on-going maintenance or service provided on a scheduled or as needed basis for equipment orsoftware~~

~~f. Asbestos abatement projects as necessary on an "as needed" basis~~

~~g. Insurance negotiated and/or approved by the State Office of Risk Management~~

~~h. Temporary staffing services~~

~~i. Telecommunications and networking services and fees for land line phones, cellphones and internet service~~

~~j. Hosted software services and applicable license and maintenance for general businessoperations such as student bill payment, cashiering and student email~~

~~k. Television programming services~~
~~l. Pest Control services~~
~~m. Concrete services not related to a project that requires board approval~~
~~n. Hazardous waste pick-up and disposal services~~
~~o. Radio tower rental for the university radio station~~
~~p. Consultant for annual roof inspections~~
~~q. Fire alarm inspections~~
~~r. Travel-related contracts, including air charter service~~
~~s. Search engine optimization for the university website~~
~~t. Preferred or mandatory use vendor contracts, blanket contracts or standing orders nototherwise requiring board approval, for which multiple purchases made as needed by departments may exceed $500,000 over the term of the contract including renewals and including, but not limited to, computers, printers, office supplies, promotional products, chemicals and air filters for HVAC systems, etc.~~

Cross Reference: *19 Tex. Admin. Code Ch. 17; Contracting Authority (1.3); Delegated Purchasing Authority (17.5); Procurement Manual; Construction Manual*~~None~~

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Finance and Audit Committee

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

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 <u>each</u> substantive revision: 1) Added definitions for eligible employee, eligible spouse, and eligible dependent.
2) Graduate Assistants have been removed from the LEAP policy and will be subsidized with a separate program.
3) Added length of service requirement for employees to be employed at 100% FTE for six months (continuous service) to be completed before the end of the enrolled term to become eligible for LEAP. This required service must also be completed by the employee before a spouse or dependent is eligible.
4) Changed the program to allow for participants to retain outside scholarships and federal financial aid (PELL and FSEOG). In the past, all financial aid applied to the student's bill first, and the LEAP exemption was reduced.

Specific rationale for deletion of policy:

Additional Comments:

STEPHEN F. AUSTIN
STATE UNIVERSITY
Office of the General Counsel

Graduate Teaching and Research Assistants (GRA/GTAs) that were covered by LEAP in FY20-22 will no longer be covered under this employee benefit policy. A separate program will be established and funded in the university budget to provide financial aid in the form of a scholarship to subsidize the GRA/GTA program beginning with the Spring semester FY23.

To bridge the gap for the GRA/GTAs that were covered under LEAP in the Spring and Summer 22 terms and the GRA/GTAs hired for the Fall 22 term, a legacy subsidy will be provided using increased tuition and fee revenue. The legacy program will end as GRA/GTAs graduate or opt out of the program.

In accordance with policy 6.12 Graduate Assistantships, legacy and future participation in the new scholarship program requires the student be enrolled in a minimum of six (6) hours of graduate level coursework in order to receive the scholarship.

Recruitment of new full-time GRA/GTA positions beginning Spring 2023 will include scholarship funds that can be awarded for up to 50% of mandatory tuition and fees, excluding statutory and graduate tuition. The recommended scholarship levels are $3,000 for students enrolled in nine (9) hours and $2,300 for students enrolled in six (6) hours. These scholarship levels will fund approximately 50% of what the LEAP program would have covered. GRA/GTA positions beginning Spring 2023 will not be limited as to other financial aid for which they receive, therefore, stacking of any other scholarships will be allowed.

Effective for the Fall 2022 term, retirees, retiree spouses and retiree dependents will no longer be granted the LEAP benefit. This is not a policy change, but a procedural change required to comply with the current and revised versions of policy. There are currently seven (7) students receiving the LEAP exemption as either a retiree or dependent of a retiree. These students will be considered legacy retiree eligible participants. Participation in LEAP as legacy retirees, retiree spouses, and retiree dependents will end after the Summer 2024 term, or as these students graduate or become ineligible for any other reason.

Reviewers:

Judith Kruwell, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Erma Brecht, Executive Director Enrollment Management
Steve Westbrook, Interim President
Damon Derrick, General Counsel

Lumberjack Education Assistance Program

Original Implementation: January 28, 2003
Last Revision: ~~April 18, 2020~~*July 26, 2022*

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 *and funding is available*.

Definitions

Eligible employee – for purposes of LEAP, an eligible employee is 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.

Eligible dependent – for purposes of LEAP, a child, stepchild, or qualified dependent of an eligible employee meeting the definition of dependent under IRS regulations.

Eligible spouse – for purposes of LEAP, an individual recognized by law as a spouse or common law spouse and meets insurance eligibility requirements for a spouse set forth by the Employees Retirement System of Texas (ERS).

Third party or contract – a sponsoring organization or agency who takes responsibility for paying a student's tuition and fee balance either in full or in part.

Outside scholarship~~s~~ – a scholarship~~s~~ provided by a private donor~~s~~, foundation~~s~~, business~~es~~, ~~and~~or other sources external to Stephen F. Austin State University, SFASU Foundation, Inc., and SFASU Alumni Association.~~.~~

General

Detailed program and eligibility requirements can be found on the human resources website. ~~The program~~*LEAP* is designed as an employee benefit initiative and is subject to available resources.

~~Full-time employees and graduate assistants who meet specific eligibility requirements are permitted to take a course during working hours. However, participation in the program does not supersede regular work responsibilities. If departmental workloads permit, employees may take one course per semester of either three or four semester credit hours during working hours. 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 will be considered, but approval must be obtained from the employee's supervisor and appropriate vice president.~~

LEAP benefits apply 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 be reduced if~~do not apply to~~ tuition and fees ~~which~~ are paid by a third party or contract, or are ~~covered~~paid by any other exemption or ~~waiver.~~waiver.

LEAP benefits will also be reduced by student financial aid with the exception of ~~are not reduced by~~ PELL grant, FSEOG (federal supplemental educational opportunity grant), outside scholarships, ~~or~~ loans.

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 ~~the~~ *LEAP benefits* ~~Lumberjack Education Assistance Program~~. The value of any taxable tuition and fee benefits paid by ~~the~~ LEAP *above the annual IRS eligible amount is treated as a taxable benefit to the employee.* ~~will be included as taxable income on the employee's annual Wage and Tax Statement (W-2) and will be subject to tax withholdings.~~

Employees

Active, regular (100% FTE) employees become eligible for LEAP benefits when they will have completed six months of continuous service for the university ~~. The six month period must be completed~~ before~~y~~ the last day of the enrolled term. ~~I~~If an employee retires from the university, or terminates for any reason, LEAP eligibility will end on the last day of the enrolled term.

~~*LEAP benefits will apply to eligible tuition and fee charges for up to two courses (maximum 8 credit hours) per semester with supervisor approval. Statutory tuition related to courses eligible for LEAP will be covered by an employee scholarship.*~~

If departmental workload permits, an employee may attend one class during normal 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 class.

Statutory tuition related to courses eligible for LEAP will be covered by a separate employee scholarship. ~~*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.*~~

Spouse/Dependents

Eligible employees may apply for LEAP benefits on behalf of their spouse/dependents when the employee becomes eligible as set forth by this policy. The 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.

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.

Cross Reference: *LEAP Requirements Document on the Human Resources Website*~~None~~

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: *LEAP Application on mySFA; Employee Scholarship Application*~~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: Tuition Set Aside Funds Programs

Policy Number: 3.33

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 provides guidelines for the university's Set Aside Programs that are required by Texas Education Code (TEC), Chapter 56.

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: An audit of SFASU Tuition Set Asides revealed the need for a policy to document the governing board's establishment of guidelines of set aside programs as required by TEC 56.034. The target implementation date was set for July 31, 2022.

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Gina Oglesbee, Vice President for Finance and Administration
Judith Kruwell, Associate Vice President for Finance and Administration
Erma Brecht, Executive Director Enrollment Management
Steve Westbrook, Interim President
Damon Derrick, General Counsel

Tuition Set-Aside Funds Programs

Original Implementation: July 26, 2022
Last Revision: None

Purpose

This policy authorizes the university's set-aside programs required by Texas Education Code Chapter 56.

Definitions

Statutory Tuition Set-Aside Funds also referred to as **Texas Public Education Grants (TPEG)** – institutions of higher education are required by Texas Education Code Sections 56.031-.039 to set aside funds from statutory tuition to provide aid to students with financial need whose education costs are not met in whole or in part from other sources and to provide funds to supplement and add flexibility to existing financial aid programs.

Tuition Set-Aside Funds – institutions of higher education are required by Texas Education Code Sections 56.011-.012 to set aside funds from designated tuition to provide aid to students with financial need whose education costs are not met in whole or in part from other sources and to provide funds to supplement and add flexibility to existing financial aid programs.

General

The Board of Regents has authorized to be set aside for use as TPEG:

- Not less than 15-percent out of each resident student's statutory tuition charged under Texas Education Code Section 54.051 as provided by the General Appropriations Act for the applicable academic year;
- Three-percent out of each nonresident student's statutory tuition charged under Texas Education Code Section 54.051.

The Board of Regents has authorized to be set aside for use as undergraduate Tuition Set-Aside Aid:

- Not less than 15-percent of any amount of designated tuition charged to a resident undergraduate student under Texas Education Code Section 54.0513 in excess of $46 per semester credit hour.

The Board of Regents has authorized to be set aside for use as graduate Tuition Set-Aside Aid:

- Not less than 15-percent of any amount of designated tuition charged to a resident student enrolled in a graduate or professional degree program under Texas Education Code Section

54.0513 in excess of $46 per semester credit hour.

The Tuition Set-Aside funds support need-based university initiatives.

Guidelines for Awarding Aid

The following guidelines shall be used in awarding aid from Set-Aside Programs:

- Students must establish financial need in accordance with university procedures and rules established by the Texas Higher Education Coordinating Board (THECB). Financial need is determined by review of a Free Application for Federal Student Aid (FAFSA) or Texas Application for State Financial Aid (TASFA).
- Aid may only be applied to students who are admitted and enrolled for at least six hours that apply to their undergraduate degree program or at least six hours that apply to their graduate degree program.
- The student must meet the satisfactory academic progress criteria established by the Office of Financial Aid and Scholarships

Funds set aside from resident tuition may only be used for aid to resident students. Funds set aside from nonresident tuition may only be used for nonresident students. After the end of the semester, the university may transfer any excess funds set aside from tuition paid by resident or nonresident students for aid awarded to the other class of students. Priority for awarding aid from any excess funds set aside by resident students shall be given to resident students.

Excess Funds

At the end of a fiscal year, if the total amount of unencumbered funds set aside under the TPEG program exceed 150-percent of the amount of funds set aside by the university for the TPEG program in the fiscal year, the university shall transfer the excess amount to THECB for the purpose of awarding aid to students at institutions other than Stephen F. Austin State University.

Administrative

The Office of Financial Aid and Scholarships will maintain administrative procedures for awarding aid from Tuition Set-Aside Programs and will submit guidelines for the award of aid to THECB. The Financial Reporting Department will maintain administrative procedures for Tuition Set-Aside calculations and accounts.

Cross Reference: Tex. Educ. Code §§ 54.0501-.0513,56.011-.039

Responsible for Implementation: Vice President for Finance and Administration and Executive Director of Enrollment Management

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

POLICY SUMMARY FORM

Policy Name: Vendor Protests

Policy Number: 16.36

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

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

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

Purpose of Policy (what does it do): This policy establishes guidelines for the submission and evaluation of vendor protests in connection with the solicitation, evaluation, or award of a contract with 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: Title changes.

Specific rationale for deletion of policy: N/A

Additional Comments:

Reviewers:

Judith Kruwell, Associate Vice President for Finance and Administration
Gina Oglesbee, Vice President for Finance and Administration
Damon Derrick, General Counsel

Vendor Protests

Original Implementation: July 14, 1998
Last Revision: July *26~~23~~*, 20*22~~19~~*

Purpose

This policy establishes guidelines for the submission and evaluation of vendor protests in connection with the solicitation, evaluation, or award of a contract with the university.

General

Any actual or prospective bidder, offeror, or contractor who feels aggrieved in connection with the solicitation, evaluation, or award of a contract may formally protest to the director of procurement and *business* ~~property~~ services/HUB coordinator of Stephen F. Austin State University *(procurement director)*. Such protests must be in writing and received in the procurement director's office: (1) by the end of the posted solicitation period if the protest concerns the solicitation documents or actions associated with the publication of the solicitation documents; (2) by the day of the award of a contract resulting from the solicitation if the protest concerns the evaluation or method of evaluation for a solicitation; or (3) no later than ten (10) days after the notice of award if the protest concerns the award.

Formal protests must conform to the requirements of this policy, and shall be resolved in accordance with the procedure set forth herein. Copies of the protest must be mailed or delivered by the protesting party to any other interested parties. For the purposes of this policy, "interested parties" means all vendors who have submitted bids, proposals, or other expressions of interest related to the solicitation and/or contract involved.

In the event of a timely protest or appeal, Stephen F. Austin State University shall not proceed further with the solicitation or award of the contract unless the procurement director, after consultation with the end user, makes a written determination that the award of contract without delay is necessary to protect the best interests of the university.

A formal protest must be sworn and contain:

1. A specific identification of the statutory or regulatory provision(s) that the action complained of is alleged to have violated;
2. A specific description of each act alleged to have violated the statutory or regulatory provision(s) identified above;
3. A precise statement of the relevant facts;
4. An identification of the issue or issues to be resolved;
5. Argument and authorities in support of the protest; and
6. An explanation of the subsequent action sought.

The procurement director shall have the authority, prior to appeal to the vice president for finance and administration, to settle and resolve the dispute concerning the solicitation, evaluation, or award

of a contract. The procurement director may solicit written responses to the protest from other interested parties.

If the protest is not resolved by mutual agreement, the procurement director will issue a written determination on the protest.

1. If the procurement director determines that no violation of rules or statutes has occurred, he/she shall so inform the protesting party, the end user, and other interested parties by letter which sets forth the reasons for the determination.
2. If the procurement director determines that a violation of the rules or statutes has occurred in a case where a contract has not been awarded, he/she shall so inform the protesting party, the end user, and other interested parties by letter which sets forth the reasons for the determination and the appropriate remedial action.
3. If the procurement director determines that a violation of the rules or statutes has occurred in a case where a contract has been awarded, he/she shall so inform the protesting party, the end user, and other interested parties by letter which sets forth the reasons for the determination, which may include ordering the contract void.

The procurement director's determination on a protest may be appealed by the protesting party to the vice president for finance and administration. An appeal of the procurement director's determination must be in writing and must be received in the vice president's office no later than 10 working days after the date of the procurement director's determination. The appeal shall be limited to review of the procurement director's determination. Copies of the appeal must be mailed or delivered by the protesting party to any other interested parties and must contain a certified statement that such copies have been provided.

The vice president may, in his/her discretion, refer the matter to the president for his/her consideration or issue a written decision on the protest.

When a protest has been appealed, the following requirements shall apply.

1. Copies of the appeal and responses of interested parties, if any, shall be delivered to the vice president or president, as applicable (“appellate authority”).
2. The appellate authority may, in his/her sole discretion, hold a hearing on the appeal if he/she believes the written record is not sufficient to render a determination. If a hearing is held, the appellate authority will set the order and amount of time allowed for presentations. The general counsel may be present as an advisor to the university.
3. The appellate authority's determination of the appeal shall be final.

Unless good cause for delay is shown or the appellate authority determines that a protest or appeal raises issues significant to procurement practices or procedures, a protest or appeal that is not filed timely or containing all required information will not be considered.

A decision issued in writing by the appellate authority, shall be the final administrative action of Stephen F. Austin State University.

Cross Reference: Tex. Gov't Code § 2155.076; 34 Tex. Admin. Code §§ 20.531-.538

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: None

Board Committee Assignment: Finance and Audit


STEPHEN F. AUSTIN STATE UNIVERSITY
1923
Reports
- President
- Faculty Senate
- Staff Council
- Student Government Association

PRESIDENT'S REPORT

Presenter: Steve Westbrook, Interim University President

Report Topics:

- Summer Commencement
- New degree programs
- Legislative Appropriation Request
- Executive Director of Enrollment Management Search
- 99th Birthday
- Homecoming

FACULTY SENATE CHAIR – DR. CHRIS MCKENNA

Christopher J. McKenna is an Associate Professor in the Department of Business Communication and Legal Studies at Stephen F. Austin State University. He has been awarded PhD and Master's degrees in English from the University of North Carolina at Chapel Hill and a BA in English and Economics from the University of Virginia. In addition to his academic career, Dr. McKenna spent over two decades as a financial-technology programmer, analyst, and manager at several world-class banks, broker-dealers, consulting firms, and hedge funds both domestically and abroad.

FACULTY SENATE REPORT

Presenter: Chris McKenna, Faculty Senate Chair

Report Topic:

Review of anticipated Senate business in Fall 2022

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

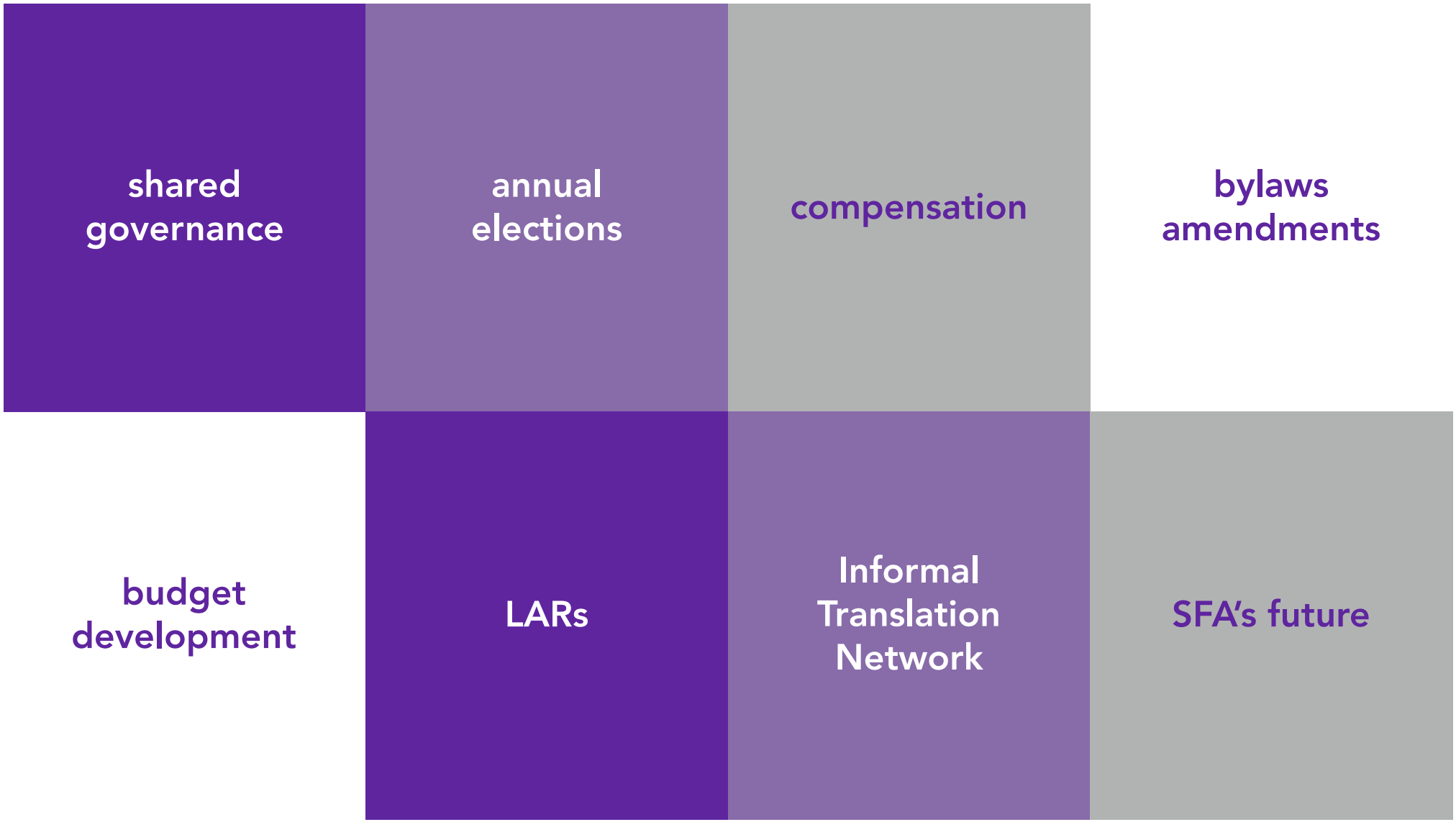
Tuesday, July 26, 2022

Staff Council

Topics of Discussion

Since we last reported to you on our work, the following topics have dominated the Council's discussions…




shared governance
annual elections
compensation
bylaws amendments
budget development
LARs
Informal Translation Network
SFA's future

Staff Council

Our Future Actions

What you can expect from Staff Council in the coming months…

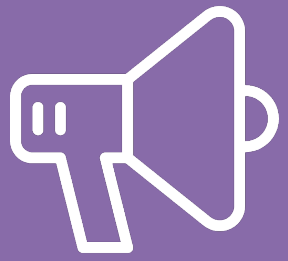


Staff Council



Member and officer elections

We will soon hold elections to replace one-third of our body, and we will also be electing a new slate of officers.



Shared governance

As conversations about SFA's future proceed, staff expectations for inclusion will increase, especially on search and inquiry committees.



Visibility and presence

We will be working to increase the profile of Staff Council among staff members, our faculty colleagues, and campus leadership.

Staff Council

Meet Alison Reed

A dedicated advocate, compassionate colleague, and SFA alumna with a strong work ethic and a big heart, Alison will serve as the 2022-2023 Staff Council Chair.



Staff Council

Final Thoughts

The past year has been educational and professionally rewarding!



SGA PRESIDENT – MADISON GARTMAN

Madison Gartman is a fourth-generation lumberjack, majoring in Agribusiness with a minor in Pre-Law. She is a Senior on a five-year track. After graduation, Madison plans to attend a Texas Law School to specialize in property and agriculture law. Madison is passionate about policy and all things agriculture. In her free time, she helps young agriculturists with livestock projects, public speaking, and leadership opportunities.

SGA REPORT

Presenter: Madison Gartman, Student Body President

Report Topic:

- NACA conference
- Upcoming plans for SGA
- Watermelon Bash
- Battle of the Pineywoods
- Tailgating Wars
- Mental Health Awareness Week