

Stephen F. Austin State University

MINUTES OF THE BOARD OF REGENTS



**Nacogdoches, Texas
January 31 – February 2, 2021
Volume 341**

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**Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
January 31 – February 2, 2021
Austin Building, Room 307
Meeting 341**

Sunday, January 31, 2021

The meeting of the Board of Regents was called to order in open session at 1:02 p.m. by Chair Alton Frailey.

PRESENT:

Board Members: Mr. Alton Frailey, Chair
 Mrs. Karen Gantt, Vice Chair
 Mr. Tom Mason, Secretary
 Mr. David Alders
 Dr. Scott Coleman
 Mr. Robert Flores
 Mrs. Brigettee Henderson
 Mrs. Judy Olson
 Mrs. Jennifer Winston
 Ms. Ireland Bramhall, Student Member

General Counsel: Mr. Damon Derrick
Chief Audit Exec.: Mrs. Gina Oglesbee
President: Dr. Scott Gordon
Cabinet: Dr. Steve Bullard
 Dr. Michara Delaney-Fields
 Dr. Danny Gallant

Other SFA administrators and staff were in attendance.

The board recessed at 1:05 p.m. to tour the new Beef Farm Center facility located on Nacogdoches County Road 123. The tour concluded at 2:30 p.m.

The Board of Regents meeting recessed at 2:31 p.m. until Monday, February 1, at 8:30 a.m.

Monday, February 1, 2021

The regular meeting of the Board of Regents was called to order in open session at 8:34 a.m. on Monday, February 1, 2021, by Chair Alton Frailey.

PRESENT:

Board Members: Mr. Alton Frailey, Chair
 Mrs. Karen Gantt, Vice Chair
 Mr. Tom Mason, Secretary

Mr. David Alders
Dr. Scott Coleman
Mr. Robert Flores
Mrs. Brigettee Henderson
Mrs. Judy Olson
Mrs. Jennifer Winston
Ms. Ireland Bramhall, Student Member

General Counsel: Mr. Damon Derrick
Chief Audit Exec.: Mrs. Gina Oglesbee
President: Dr. Scott Gordon
Cabinet: Mrs. Erma Brecht
Dr. Steve Bullard
Dr. Michara Delaney-Fields
Mr. Anthony Espinoza
Dr. Danny Gallant
Mr. Ryan Ivey
Mrs. Jill Still

Mrs. Erma Brecht presented the Enrollment Update Report and Dr. Danny Gallant provided the Budget Update Report to the board.

The board recessed to committee meetings. The Building and Grounds Committee convened at 9:43 a.m.

Dr. Gallant presented the Construction Report and Planned Maintenance Report to the board.

The board recessed the Building and Grounds Committee meeting at 10:17 a.m. The Academic and Student Affairs Committee convened at 10:18 a.m. and recessed at 10:31a.m. The Finance and Audit Committee convened at 10:32 a.m.

The Investment Report was presented to the board by Dave Verghese, Executive Director of Investments with The Texas A&M University System Treasury Services via videoconference. Dr. Gallant presented the Contract Monitoring Report.

Mrs. Judi Kruwell provided the Voluntary Separation Incentive Program Update Report to the board. The Annual Financial Report Review for SACS was presented by external auditor, Mr. Robert Belt, Managing Partner with Belt Harris Pechacek, LLP.

The board recessed the Finance and Audit Committee and broke for lunch at 12:46 p.m. The board reconvened in Open Session at 2:18 p.m.

Chair Frailey called the meeting into executive session at 2:19 p.m. to consider the following items:

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

Report from chief information officer
TAC 202 Information Security Audit

Deliberations Regarding the Purchase, Exchange, Lease, Sale or Value of Real Property (Texas Government Code, Section 551.072)

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, *Ann Wilder, Ph.D. v. SFASU* and conference disaffiliation (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 director of athletics, head women's basketball coach, head football coach, vice presidents and the president (Texas Government Code, Section 551.074)

The executive session ended at 4:31 p.m. The Board of Regents meeting returned to open session and recessed to Tuesday, February 2, at 8:30 a.m.

Tuesday, February 2, 2021

The meeting of the Board of Regents reconvened and was called to order in open session at 8:32 a.m. by Chair Alton Frailey.

PRESENT:

Board Members: Mr. Alton Frailey, Chair
 Mrs. Karen Gantt, Vice Chair
 Mr. Tom Mason, Secretary
 Mr. David Alders
 Dr. Scott Coleman
 Mr. Robert Flores
 Mrs. Brigettee Henderson
 Mrs. Judy Olson
 Mrs. Jennifer Winston
 Ms. Ireland Bramhall, Student Member

General Counsel: Mr. Damon Derrick
Chief Audit Exec.: Mrs. Gina Oglesbee
President: Dr. Scott Gordon
Cabinet: Mrs. Erma Brecht
 Dr. Steve Bullard
 Dr. Michara Delaney-Fields
 Mr. Anthony Espinoza
 Dr. Danny Gallant
 Mr. Ryan Ivey
 Mrs. Jill Still

Other SFA administrators and staff were in attendance.

Regent Gantt offered the invocation and ROTC Cadet Katarina Freudenthal led the pledges to the flags.

RECOGNITIONS

Dr. Scott Gordon recognized Regent Flores, Regent Frailey, Regent Coleman for their service to the board. Each were presented with their regent portrait and a commemorative axe as acknowledgement for their dedication and loyalty to the university and service on the board.

Dr. Gordon also introduced Dr. Brandon Frye, newly appointed Vice President for Student Affairs. President Gordon also shared with the board the positive impact the students and faculty of the DeWitt School of Nursing have had on the local community with the COVID-19 vaccine distribution. Dr. Tammy Harris, director and associate professor of the DeWitt School of Nursing, was commended for her leadership.

Dr. Steve Bullard recognized Dr. Jim Towns, professor emeritus in Languages, Cultures and Communication, for his 54 years of service to the university. Dr. Mark Sanders was also recognized for his service to the College of Liberal and Arts, in the interim role of Dean. Ms. Ryan Brown-Moreno was acknowledged for her new role as Coordinator of Academic Partnerships.

APPROVAL OF MINUTES

BOARD ORDER 21-22

Upon motion by Regent Coleman, seconded by Regent Flores, with all members voting aye, it was ordered that the minutes of Meeting 339, October 25-26, 2020, regular meeting of the Board of Regents and minutes of Meeting 340, December 17, 2020, special called meeting of the Board of Regents be approved as presented.

APPROVAL OF BOARD RULES AMENDMENT

BOARD ORDER 21-23

Upon motion by Regent Winston, seconded by Regent Mason, with all members voting aye, it was ordered that the amended Board Rules and Regulations be approved as presented in Appendix 1.

PERSONNEL

BOARD ORDER 21-24

Upon motion by Regent Mason, seconded by Regent Olson, with all members voting aye, it was ordered that the following personnel items be approved.

STAFF APPOINTMENTS

The following staff appointments were approved.

ATHLETICS

Andrew Glass, Assistant Track Coach at an annual salary of \$32,558 for 100-percent time, effective 10/19/2020.

Chelsea Groves, Assistant Program Director-Strategic Communications at an annual salary of

\$36,000 for 100-percent time, effective 12/1/2020.

MARKETING COMMUNICATIONS

Graham Garner, Chief Marketing Communications Officer at an annual salary of \$145,000 for 100-percent time, effective 3/8/2021.

STUDENT AFFAIRS

Brandon Frye, Vice President for Student Affairs. The president is authorized to negotiate and execute the Employment Contract, upon review from legal form and sufficiency by the Office of the General Counsel.

TITLE IX

Patricia Rivera, Compliance Specialist at an annual salary of \$49,500 for 100-percent time, effective 1/6/2020.

FACULTY APPOINTMENTS

The following faculty appointments were approved.

COLLEGE OF LIBERAL AND APPLIED ARTS

Rebecca Spears, MFA (Bennington College), Visiting Assistant Professor of English at an academic salary of \$24,000 for 100-percent time, effective 1/1/2021.

CHANGES OF STATUS

The following changes of status were approved.

ATHLETICS

Colby Carthel, Head Coach of Football Operations. The president is authorized to negotiate and execute the Head Coach Employment Contract, upon review from legal form and sufficiency by the Office of the General Counsel.

Mark Kellogg, Head Coach for Women's Basketball Operations. The president is authorized to negotiate and execute the Head Coach Employment Contract, upon review from legal form and sufficiency by the Office of the General Counsel.

CENTER FOR TEACHING AND LEARNING

Alison Reed, from Learning Experience Design Specialist II at an annual salary of \$51,954, 100-percent time, to Learning Experience Design Coordinator at annual salary of \$60,000 for 100-percent time, effective 12/15/2020.

COLLEGE OF LIBERAL AND APPLIED ARTS

Mark Sanders, from Associate Dean at an annual salary of \$126,124, 100-percent time, to Interim Dean at annual salary of \$126,124 for 100-percent time, with a \$1,000 monthly stipend, effective 1/1/2021.

CONTROLLERS OFFICE

Kallie Barrett, from Accountant II at an annual salary of \$50,490, 100-percent time, to Billing Services Coordinator at an annual salary of \$62,000, 100-percent time, effective 10/1/2020.

GENERAL COUNSEL

Tanner Boyd, from Assistant General Counsel at an annual salary of \$70,000, 100-percent time, to Assistant General Counsel at an annual salary of \$90,000, 100-percent time, effective 12/7/2020 due to completion of licensure requirements.

INFORMATION TECHNOLOGY SERVICES

Alexis Guthery, from Project Coordinator, at an annual salary of \$40,824, 100-percent time, to Project Analyst at an annual salary of \$58,000 for 100-percent time, effective 9/1/2020.

INSTITUTIONAL RESEARCH

Amy Camacho, from Analyst at an annual salary of \$49,500, 100-percent time, to Senior Analyst at an annual salary of \$62,000, 100-percent time, effective 10/22/2020.

Shelby Winthrop, from Student Affairs Administrative Assistant at an annual salary of \$34,373, 100-percent time, to Institutional Research Analyst at an annual salary of \$47,000, 100-percent time, effective 12/19/2020.

STUDENT AFFAIRS DIVISION

Michara DeLaney-Fields, from Chief Diversity Officer at annual salary of \$110,000 for 100-percent time, to Student Affairs Interim Vice President at an annual salary of 110,000, 100-percent time, with an additional stipend of \$2,000 per month for 2 months, effective 12/19/2020.

Hollie Smith, from Assistant Dean of Students at an annual salary of \$85,224, 100-percent time, to Interim Dean of Students at annual salary of \$85,224 for 100-percent time, with a \$1,500 stipend for 2 months, effective 1/7/2021.

UNIVERSITY MARKETING COMMUNICATIONS

Sarah Kouliavtsev, from Senior Specialist – Web Services at an annual salary of \$47,123, 100-percent time, to Coordinator – Web Services at an annual salary of \$47,123, 100-percent time, effective 10/22/2020.

UNIVERSITY PARTNERSHIPS

Ryan Brown-Moreno from Center for Career and Professional Development - Career Coordinator at an annual salary of \$37,080 100-percent time, to University Partnership – Academic Partnership Coordinator at an annual salary of \$50,215, 100-percent time, effective 1/1/2021.

FACULTY PROMOTIONS

The following faculty promotions were approved.

To Assistant Professor, effective January, 2021

Jessica Glasscock Forestry

To Professor Emeritus, effective January 2021

James Towns Communication Studies

RETIREMENTS

ELEMENTARY EDUCATION

Paula Griffin, Associate Professor, 14 years of service to SFA, effective 12/31/2020.

ENGLISH AND CREATIVE WRITING

Anne Duncan, Adjunct Faculty, 36 years of service to SFA, effective 12/31/2020.

GOVERNMENT

Karen Price, Associate Professor, 14 years of service to SFA, effective 12/31/2020.

LANGUAGES, CULTURE AND COMMUNICATION

James Towns, Professor, 54 years of service to SFA, effective 12/31/2020.

VOLUNTARY SEPARATION INCENTIVE PROGRAM RETIREMENTS

ARTHUR TEMPLE COLLEGE OF FORESTRY AND AGRICULTURE

Jeffery Williams, Technology Coordinator, 24 years of service to SFA, effective 1/31/2021.

BIOLOGY

Gene Sullivan, Instructor, 34 years of service to SFA, effective 12/31/2020.

BUSINESS COMMUNICATION AND LEGAL STUDIES

Keith New, Lecturer, 10 years of service to SFA, effective 12/31/2020.

COLLEGE OF LIBERAL AND APPLIED ARTS

Brian Murphy, Dean, 13 years of service to SFA, effective 12/31/2020.

Jane Robinson, Administrative Assistant, 20 years of service to SFA, effective 12/31/2020.

CONTROLLERS OFFICE

Catherine Young, Accountant II, 22 years of service to SFA, effective 12/31/2020.

EARLY CHILDHOOD LAB

Karen Farris, Master Teacher, 34 years of service to SFA, effective 12/31/2020.

Louann Williams, Master Teacher, 23 years of service to SFA, effective 12/31/2020.

HEALTH SERVICES

Jenny Henson, Clinical Lab Scientist, 33 years of service to SFA, effective 12/31/2020.

Charlene Honea, Assistant to the Director of Health Services, 25 years of service to SFA, effective 12/31/2020.

Janice Ledet, Director of Health Services, 30 years of service to SFA, effective 12/31/2020.

HUMAN SCIENCES

Mitzi Perritt, Professor, 38 years of service to SFA, effective 12/31/2020.

INFORMATION TECHNOLOGY SERVICES

Michael Carmical, Programmer/Analyst II, 5 years of service to SFA, effective 1/31/2021.

Glenn Millard, Help Desk Analyst III, 41 years of service to SFA, effective 1/31/2021.

KINESIOLOGY AND HEALTH SCIENCE

David Goodman, Lecturer, 18 years of service to SFA, effective 12/31/2020.

PHYSICAL PLANT

Virginia Booth, Custodial Worker I, 23 years of service to SFA, effective 12/31/2020.

Lewis McPherson, Grounds Worker I, 28 years of service to SFA, effective 12/31/2020.

Donald Shinn, Electrical/Electronics Foreperson, 28 years of service to SFA, effective 12/31/2020.

Mary Evans, Administrative Assistant, 10 years of service to SFA, effective 12/31/2020.

Joie Fields, Custodial Worker I, 16 years of service to SFA, effective 12/31/2020.

James Radar, Manager of Residence Life Operations, 37 years of service to SFA, effective 12/31/2020.

Bobbie Sanders, Auto Services Technician I, 16 years of service to SFA, effective 1/31/2021.

Gilberto Veliz, Custodial Foreperson II, 6 years of service to SFA, effective 12/31/2020.

Angela Williams, Custodial Foreperson I, 26 years of service to SFA, effective 12/31/2020.

Garth Zimmerman, Custodial Worker I, 10 years of service to SFA, effective 12/31/2020.

PHYSICS, ENGINEERING AND ASTRONOMY

Thomas Callaway, Professor, 47 years of service to SFA, effective 12/31/2020.

Edward Michaels, Professor, 40 years of service to SFA, effective 12/31/2020.

SCHOOL OF NURSING

Carol Athey, Clinical Instructor, 12 years of service to SFA, effective 12/31/2020.

STEM RESEARCH AND LEARNING CENTER

Peggy Moss, Administrative Assistant, 22 years of service to SFA, effective 12/31/2020.

Nola Schmidt, Curriculum Coordinator, 8 years of service to SFA, effective 1/31/2021.

STUDENT AFFAIRS

Donna Crawford, Administrative Assistant, 20 years of service to SFA, effective 9/30/2020.

STUDENT CENTER OPERATIONS

Carol Woodson, Reservation/Conference Coordinator, 16 years of service to SFA, effective 9/30/2020.

Terry Witcher, Building Operator II, 29 years of service to SFA, effective 1/31/2021.

THEATRE

Barbara Blackwell, Costume Shop Foreperson, 21 years of service to SFA, effective 12/31/2020.

UNIVERSITY AFFAIRS

Steve Westbrook, Vice President, 41 years of service to SFA, effective 12/31/2020.

UNIVERSITY MARKETING COMMUNICATIONS

Hardy Meredith, Coordinator – Photography Services, 25 years of service to SFA, effective 12/31/2020.

UNIVERSITY POLICE DEPARTMENT

James Fincher, Corporal, 25 years of service to SFA, effective 1/31/2021.

Tina Layton, Parking Office Coordinator, 23 years of service to SFA, effective 12/31/2020.

Muriel Taylor, Dispatcher, 16 years of service to SFA, effective 9/30/2020.

ACADEMIC AND STUDENT AFFAIRS COMMITTEE

BOARD ORDER 21-25

Upon motion by Regent Henderson, seconded by Regent Coleman, with all members voting aye, it was ordered that the following academic and student affairs item be approved.

WESTERN ATHLETIC CONFERENCE AFFILIATION

WHEREAS, the board members considered: Following extensive research into alternative conference affiliations and the receipt of an invitation to join the Western Athletic Conference (WAC), the Board of Regents in a specially called meeting on December 17, 2020 authorized the president to accept the invitation to join the WAC effective July 1, 2022. Upon notification to the Southland Conference of the university's intention to withdrawal from its membership, the Southland Conference notified the university its effective date for withdrawal from the Southland Conference will be June 30, 2021. The WAC is agreeable to the university joining the conference one year earlier than anticipated on July 1, 2021.

THEREFORE, it was ordered that the university join the Western Athletic Conference (WAC) effective July 1, 2021, and that the President be given authority to negotiate the final terms and conditions of the affiliation and sign the related conference affiliation agreement(s).

BOARD ORDER 21-26

Upon motion by Regent Henderson, seconded by Regent Alders, with all members voting aye, it was ordered that the following academic and student affairs item be approved.

ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 2:

- Class Attendance 6.7
- Course Grades 5.5
- Electronic Personnel Action Form 11.8
- Employee Training 11.11
- Employment of Persons with Criminal History 11.12
- Final Course Grade Appeals by Students 6.3
- Honorary Degree 5.12
- Human Research Subjects Protection 8.4
- Off-Campus Credit Courses 5.13
- Security-Sensitive Positions 11.25
- Student Records 2.10
- Temporary Employment 11.28
- Textbook Adoption Timeline 10.1
- Time Reporting for Non-Exempt Employees 11.30
- Workers Compensation Coverage 12.23

BUILDING AND GROUNDS COMMITTEE

BOARD ORDER 21-27

Upon motion by Regent Alders, seconded by Regent Henderson, with all members voting aye, it was ordered that the following buildings and grounds items be approved.

STEM BUILDING FINAL PROJECT BUDGET AND CLOSEOUT

WHEREAS, the board members considered the following: The STEM Building Project was initially funded with \$46,400,000 of tuition revenue bond proceeds. Subsequently, \$850,000 of investment earnings were recognized and an increased project budget of \$47,250,000 was approved by the regents at the October 29, 2018 meeting. Further, an additional \$70,000 of investment earnings were projected to be earned, and an increased project budget of \$47,320,000 was approved by the regents at the October 28, 2019 meeting. At that time, total earned and/or projected interest earnings were \$920,000.

Actual investment earnings are \$919,038.79, \$961.21 less than the total amount budgeted. In addition to actual investment earnings, a transfer of unused bond proceeds originally reserved to pay bond cost of issuance (COI) expenses was allocated to the STEM Building Project in the amount of \$5,196.23. The combination of these two revenue components totals \$924,235.02. The total revenue amount of \$924,235.02 added to the initial project budget of \$46,400,000 yields a final project budget of \$47,324,235.02. The project closeout report is contained in the construction report.

THEREFORE, it was ordered that the final STEM Building project budget be approved at \$47,324,235.02, to include total investment earnings of 919,038.79 and cost of issuance revenue of \$5,196.23.

BASKETBALL PERFORMANCE FACILITY BUDGET INCREASE TO RECOGNIZE INVESTMENT EARNINGS

WHEREAS, the board members considered the following: At the January 27, 2020 meeting, the regents approved a \$2,500,000 increase in the original \$26,000,000 basketball performance facility budget using donated funds. The total project budget was increased to \$28,500,000.

The bond proceeds allocable to the basketball performance facility project have been invested since the proceeds were received. From that time until now, investment earnings have yielded \$732,845. SFA Policy 1.4, Items Requiring Board of Regents Approval, specifies that construction project budgets must be approved by the regents.

THEREFORE, it was ordered that the total projected investment earnings in the Basketball Performance Facility project, and comply with SFA Policy 1.4, the administration recommends a \$732,845 increase in the project budget, resulting in a budget increase from \$28,500,000 to \$29,232,845.

TXDOT FM 1878 STARR AVENUE PEDESTRIAN IMPROVEMENT PROJECT

WHEREAS, the board members considered the following: At the July 23, 2019 meeting, the board of regents approved the submission of four separate Texas Department of Transportation (TxDOT) grant projects that included a pedestrian improvement initiative along Starr Avenue (FM 1878) that extended from Clark Boulevard across University Drive, and ending at Cardinal Street. The university was recently notified that the project was approved by the Texas Department of Transportation (TxDOT) not as a grant, but as a TxDOT construction initiative with a required SFA institutional commitment of \$13,282.

The majority of the pedestrian improvement project is on university property. At the time of submission, the FM 1878 project cost was estimated to be \$633,836, with an institutional match contribution of \$126,767. As noted above, the required SFA contribution is now \$13,282.

TxDOT communication indicates that as of December 2020, the FM 1878 project design phase was approximately 60% completed. TxDOT further indicates project bids will occur in August 2021.

THEREFORE, it was ordered that the request of \$13,282 in support of the FM 1878 Starr Avenue Pedestrian Improvement Project using the Higher Education Fund (HEF) and/or designated funds be approved.

BOARD ORDER 21-28

Upon motion by Regent Alders, seconded by Regent Winston, with all members voting aye, it was ordered that the following buildings and grounds items be approved.

BUILDINGS AND GROUNDS POLICY REVISIONS

The Board of Regents adopted the following policy revision as presented in Appendix 2:

Access to Facilities 14.7

Alcohol Service 13.7
Asbestos Management 13.4
Expressive Activities 16.4
Petitions and Handbills 16.19
Signs and Exhibits 16.24
The Ed and Gwen Cole Art Center and the Griffith Gallery 16.27

FINANCE AND AUDIT COMMITTEE

BOARD ORDER 21-29

Upon motion by Regent Mason, seconded by Regent Gantt, with all members voting aye, it was ordered that the following financial affairs items be approved.

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

The Board of Regents acknowledged receipt of the audit services report as presented including the following:

TAC 202 Information Security Audit
Expenditures and Payments Audit
Health Services Departmental Audit
Annual Financial Report Review for SACS
Charter School Annual Financial Report Audit
Agreed Upon Procedures Report for the NCAA Financial Statement
State Comptroller Post Payment Audit
Update on Audit Plan

BOARD ORDER 21-30

Upon motion by Regent Mason, seconded by Regent Flores, with all members voting aye, it was ordered that the following financial affairs item be approved.

2019-2020 ANNUAL FINANCIAL REPORT

WHEREAS, the board members considered the following: As required by state law, Stephen F. Austin State University submitted the August 31, 2020, Annual Financial Report to the Office of the Governor, Comptroller of Public Accounts, Legislative Budget Board, Texas Higher Education Coordinating Board, Legislative Reference Library, Texas State Library and Texas State Auditor's Office. The report reflected the university's financial activities for the period September 1, 2019, through August 31, 2020.

THEREFORE, it was ordered that the Stephen F. Austin State University 2019-20 annual financial report be approved as presented.

BOARD ORDER 21-31

Upon motion by Regent Mason, seconded by Regent Alders, with all members voting aye, it was ordered that the following financial affairs item be approved.

RESOLUTION TO ACKNOWLEDGE REVIEW OF THE INVESTMENT STRATEGY AND POLICY

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

THEREFORE, it was ordered that the Resolution to Acknowledge Review of Investment Policy and Strategy be adopted.

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

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

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the investment policy and strategy as reviewed on February 2, 2021, and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the February 2, 2021 meeting of the board.

BOARD ORDER 21-32

Upon motion by Regent Mason, seconded by Regent Winston, with all members voting aye, it was ordered that the following financial affairs item be approved. Regent Olson abstained from the vote.

RESOLUTION APPROVING BROKERS FOR INVESTMENT TRANSACTIONS

WHEREAS, the board members considered the following: Chapter 2256 of the Texas Government Code requires the university to adopt a resolution by the governing body of the institution that approves qualified investment brokers. The following brokers/investment managers as listed on the resolution.

THEREFORE, it was ordered that the following resolution and list of investment managers and brokers be approved as presented.

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

WHEREAS, the following firms are approved investment brokers:

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

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

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the February 2, 2021 meeting of the board.

BOARD ORDER 21-33

Upon motion by Regent Mason, seconded by Regent Olson, with all members voting aye, it was ordered that the following financial affairs item be approved. Chair Frailey, Regents Henderson, Alders and Winston abstained from the vote.

RESOLUTION APPROVING FINANCIAL INSTITUTIONS FOR INVESTMENT TRANSACTIONS

WHEREAS, the board members considered the following: Chapter 2256 of the Texas Government Code requires the university to adopt a resolution by the governing body of the institution that approves qualified investment brokers. The following financial institutions as listed on the resolution.

THEREFORE, it was ordered that the following resolution and list of financial institutions be approved as presented.

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

WHEREAS, the following firms are approved financial institutions:

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

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

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the February 2, 2021 meeting of the board.

BOARD ORDER 21-34

Upon motion by Regent Mason, seconded by Regent Henderson, with all members voting aye, it was ordered that the following financial affairs item be approved.

APPROVAL OF FY2022 ROOM AND BOARD RATES

WHEREAS, the board members considered the following: Student housing room rates are reviewed and approved annually by the board of regents. The administration is requesting no increase in the current traditional term room rates.

To accommodate residential students who choose to take advantage of an eight-week course schedule, new eight-week housing agreements have been developed. These new agreements are priced at 5% higher than 50% of the traditional sixteen-week agreements.

Board rates are also traditionally addressed within this same item annually, however there is an exception this year due to the current bid process related to the naming of the dining services provider for the next fiscal year. The board rates for FY22 will be established within the contract negotiated with the provider selected by the board later this year.

THEREFORE, it was ordered that the student housing room rates for FY2022 be approved as presented in Appendix 3.

BOARD ORDER 21-35

Upon motion by Regent Mason, seconded by Regent Coleman, with all members voting aye, it was ordered that the following financial affairs item be approved.

DUAL CREDIT TUITION FEES FOR FY2022

WHEREAS, the board members considered the following: At the September 11, 2020 meeting, the regents exempted dual credit students from paying web-based distance education fees for the fall 2020, spring 2021 and summer 2021 semesters. This action eliminated dual-credit distance education fees for fiscal year 2021. At the meeting, the administration indicated that dual credit tuition and fees would be re-evaluated, and pricing proposals would be submitted at a later time. The administration obtained dual tuition and fee costs from community colleges and senior institutions, and determined a fixed price for dual credit students, regardless of the delivery modality.

THEREFORE, it was ordered that the tuition and fee charge of \$258 for a three-semester credit hour dual credit course, beginning with the fall 2021 semester. As recommended by the administration, is it approved at a three-hour level, the education and general statutory tuition cost of \$150 and a university services fee of \$108; and the per semester credit hour cost is \$50 for education and general statutory tuition and \$36 for the university services fee.

BOARD ORDER 21-36

Upon motion by Regent Mason, seconded by Regent Alders, with all members voting aye, it was ordered that the following financial affairs item be approved.

GRANT AWARDS

For fiscal year 2021, the multi-year grant award total is currently \$18,279,212. Of this total, grant awards allocable to fiscal year 2021 are currently \$5,847,980, an increase of \$284,832 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 ordered that the additional fiscal year 2021 grant awards that total \$284,832 is approved and ratified. The grant awards are detailed as presented in Appendix 4.

BOARD ORDER 21-37

Upon motion by Regent Mason, seconded by Regent Alders, with all members voting aye, it was ordered that the following financial affairs items be approved.

FINANCIAL AFFAIRS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 2:

- Contracting Authority 1.3
- Historically Underutilized Businesses 17.7
- Investments 3.21
- Investments-Endowment Funds 3.20
- Procurement Card (P-Card) 17.11
- Procurement of Electronic and Information Resources 17.16
- Retirement Programs 12.15
- Risk Management 13.19

REPORTS

President, Dr. Scott Gordon

- Shared Governance and Communication
- COVID-19 Update
- Off Campus Locations
- Provost Search Update
- EDA Grant
- Legislative Work
- Leadership Collaboration (NISD, County, City, SFA)

Faculty Senate Chair, Dr. Andrew Lannen

- Faculty Accomplishments
- Memorandum of Understanding of December 2020

Opportunity for Questions

Student Government Association President, Mr. Christopher Moore

Fall Semester

- Mental Health week

- Brought awareness to Hispanic Heritage month, Breast Cancer Awareness month, and the deaf and hard of hearing community on-campus

- Hurricane relief drive

- Registered over 100 students to vote in the national election

- Rented a bus and brought students back and forth from their designated precincts

- Implemented our very first Book Scholarship to four students

Plans for Spring semester

- SGA Week

- Black History Month program

- Future Town Halls including UPD, President Gordon, VP Brandon Frye, and more administration. Bringing awareness to the student body about campus functionality and operations will also bringing pressing concerns to administration.

- Continuing our communications with the different caucuses we have on campus

- Wellness fair

Regent Coleman, chair of the Intercollegiate Athletic Advisory Committee provided a summary report on the meeting that took place on January 30, 2021.

Chair Frailey called for a report from the nominating committee appointed at the December 2020 meeting. Scott Coleman, chair, reported on behalf of the committee, which included members Judy Olson and Jennifer Winston. The following officers were nominated to serve during 2021-2022, assuming a new term of office on April 20, 2021.

Alton Frailey, Chair

Karen Gantt, Vice Chair

Tom Mason, Secretary

The meeting was adjourned by Chair Alton Frailey at 10:21 a.m.

RULES AND REGULATIONS BOARD OF REGENTS
STEPHEN F. AUSTIN STATE UNIVERSITY
(Amended ~~April 18, 2020~~ February 2, 2021)

1. Composition of Board

The Board of Regents, Stephen F. Austin State University, is composed of nine members who are appointed by the governor of Texas, with the advice and consent of the senate. Three members of the board are appointed biennially to serve for terms of six years.

The board is charged with the responsibility of performing those duties which are delegated to it by the legislature. The board has no authority except as delegated to it by law.

Knowledge of the limitations of its authority is imputed to all persons, firms and corporations dealing with the board.

2. Non-Voting Student Regent

Annually on June 1, a student regent shall be appointed by the governor to serve a one-year term expiring on the following May 31. The student regent must be enrolled as an undergraduate or graduate student at Stephen F. Austin State University at the time of appointment and throughout the student regent's term. The student regent must remain in good academic standing and maintain at least a 2.5 GPA.

The student regent is not a member of the Board of Regents of Stephen F. Austin State University. The student regent has the same powers and duties as the members of the Board of Regents, including the right to attend and participate in meetings of the Board of Regents, except that the student regent may not vote on any matter before the board or make or second any motion before the board. The student regent is not counted in determining whether a quorum exists for a meeting of the board or in determining the outcome of any vote of the board.

3. Office of the Board of Regents

The Office of the Board of Regents is located in the Austin Building, Room 308. The mailing address is PO Box 13026 – SFA Station, Nacogdoches, TX 75962- 3026. The office is staffed by the coordinator of board affairs/compliance.

4. Setting of Meetings

The Board of Regents shall convene annually in Nacogdoches, Texas, in the month of April, which meeting shall be known as the annual meeting.

All meetings of the board shall conform to the Texas Open Meetings Act, Chapter 551 of the Texas Government Code. Regular meetings of the board shall be held quarterly at such time and place as a majority of the board shall determine. The board shall set regular quarterly meeting dates one year in advance, usually in January, April, July and October, which may be changed by consensus of the board due to unanticipated needs. Special meetings of the board may be called by the chair, or by a majority of the members of the board. Telephone conference meetings may be called when circumstances dictate that immediate action is required and it is difficult or impossible to convene a quorum in a single location. Telephone conference meetings shall be restricted to special meetings of the board.

All meetings of the Board of Regents shall be open to the public and broadcast over the internet as required by state law. Such broadcasts shall be recorded and archived in accordance with state law. Executive sessions of the board may be held with the consent of a majority of those members present and as authorized by law.

A majority of the members of the board or committee membership shall constitute a quorum. Ex-officio members shall be counted for purposes of determining a quorum. Proxies shall not be recognized. No formal action shall be taken by the board or committee of the board in the absence of a quorum.

5. Designation of Officers

The officers of the board shall include a chair, a vice chair, a secretary, and such other officers as may from time to time be elected or appointed.

6. Election of Chair and Authorization of Duties

At the January meeting of the board, and as the last order of business, there shall be elected from the membership of the board a chair, who shall take office at the start of business during the official, formal meeting of the full board in April and shall serve through the beginning of business at the formal meeting of the full board in April of the following year. In the event the chair's term of office as regent expires prior to the conclusion of his/her service as chair, the chair-elect shall immediately take office upon such expiration and serve for the remainder of the previous chair's term and his/her elected term; however if the chair is reappointed to a new term as regent, he/she shall complete the elected term of office. If a chair-elect has not been named, the vice-chair shall serve as chair of the board until the beginning of

business at the formal meeting of the full board at the next April meeting.

No member shall serve more than two consecutive elected terms as chair unless the members shall re-elect such member for each term after the two consecutive terms by a vote of at least six (6) members.

In the event of a chair's death or resignation, the vice chair shall serve as chair of the board until the beginning of business at the formal meeting of the full board at the next April meeting.

The chair of the board shall preside at all meetings of the board which he/she attends.

He/she is responsible for the agendas of the meetings of the board. He/she has the authority to call special meetings of the board, as herein provided. He/she is an ex officio member of all committees of the board and shall be in addition to the membership prescribed in Section 9 of these Rules. He/she shall deliver to each new board member immediately upon such person's appointment by the governor a copy of the regents' *Rules and Regulations* and a copy of the organization of principal administrative offices of the university. He/she shall ensure the members of the Board are apprised of their duties and responsibilities under law, including but not limited to Texas Education Code Section 51.352.

Parliamentary procedure in board meetings will generally conform to *Roberts' Rules of Order, Newly Revised*, when not in conflict with board rules.

The chair shall, in the name of the board, formally execute all contracts and documents authorized by resolutions of the board unless otherwise authorized to be signed by the president, and perform such other duties as are generally imposed on a chair of the board.

7. Election of Vice Chair and Authorization of Duties

A vice chair shall be elected from the membership of the board immediately following the election of a chair at the January meeting and shall take office at the start of business during the official, formal meeting of the full board in April and shall serve through the beginning of business at the formal meeting of the full board in April of the following year. In the event the vice chair's term of office as regent expires prior to the conclusion of his/her service as vice chair, the vice chair-elect shall immediately take office upon such expiration and serve for the remainder of the previous vice chair's term and his/her elected term; however if the vice chair is reappointed to a new term as regent, he/she shall complete the elected term of office. If a vice chair-elect has not been named, the secretary shall serve as vice chair, as well as secretary, until the beginning of business at the formal meeting of the full board at the next April meeting.

No member shall serve more than two consecutive elected terms as vice chair unless the members shall re-elect such member for each term after the two consecutive terms by a vote of at least six (6) members.

The vice chair shall preside over meetings of the board in the absence of the chair, and shall succeed to the rights and powers of the chair in the event he/she is absent from the state or is unable to act because of disqualification, or because of physical disability as determined by the board. The vice chair shall perform such other duties as may be delegated to him/her by the board.

In the event of the death, resignation, or assumption of chair duties by the vice chair, the secretary shall serve as vice chair, as well as secretary, until the beginning of business at the formal meeting of the full board at the next April meeting.

8. Election of Secretary and Authorization of Duties

The board shall select a secretary from the membership of the board, immediately following election of a vice chair at the January meeting, who shall take office at the start of business during the official, formal meeting of the full board in April and who shall serve through the beginning of business at the formal meeting of the full board in April of the following year. In the event the secretary's term of office as regent expires prior to the conclusion of his/her service as secretary, the secretary-elect shall immediately take office upon such expiration and serve for the remainder of the previous secretary's term and his/her elected term; however if the secretary is reappointed to a new term as regent, he/she shall complete the elected term of office. If a secretary-elect has not been named, the vice chair shall serve as vice chair, as well as secretary, until the beginning of business at the formal meeting of the full board at the next April meeting. The secretary shall ensure that preparation for all meetings of the board, including such notices as required by law are made. The secretary or other officers shall attend all open meetings of the board and ensure that accurate records of all open meetings are kept. He/she shall ensure that all parties affected by the actions of the board are notified. He/she shall provide oversight to the coordinator of board affairs/compliance who shall be responsible for all records of the board and all documentary files thereof. He/she shall ensure that the coordinator of board affairs/compliance keep the official copy of the regents' *Rules and Regulations*. Said copy shall contain all current rules and regulations as set by the Board of Regents. Any changes or additions thereto shall be entered in the official copy and such changes and additions shall be furnished to members of the board and officers of the university as designated by the president. The coordinator of board affairs/compliance shall assist the secretary in performing the duties of his/her office.

9. Committees of the Board

The chair of the board shall appoint at the annual meeting of the Board of Regents or soon thereafter all committee members and shall designate a chair of each committee except as otherwise provided herein. The chair of the board may further remove, replace, or appoint members in the event of a vacancy.

9.1 The Executive and Legislative Committee shall consist of the chair of the board, the vice chair of the board, and one other member appointed by the chair. The chair of the board shall serve as chair of this committee. This committee shall serve as an advisory committee and 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.

9.2 The Academic and Student Affairs Committee shall consist of three members. 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.

The committee shall summarize facts and present alternatives as necessary.

9.3 The Building and Grounds Committee shall consist of three members. This committee shall consider:

- (1) use and occupancy of university property;
- (2) 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 committee shall summarize facts and present alternatives as necessary.

9.4 The Finance and Audit Committee shall consist of three members. 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 issues.

The committee shall summarize facts and present alternatives as necessary.

- 9.5 The Nominating Committee shall consist of three members. This committee shall be appointed annually prior to the January meeting by the chair for the purpose of nominating board officers for election at the January meeting.
- 9.6 The chair of the board may at any time appoint special committees, name the members thereof and designate the chairs. At a meeting of the Board of Regents, not less than six members thereof may appoint special committees, name the members thereof and designate the chairmen. Any special committee so created by the chair or by the Board of Regents shall be temporary and shall be charged in writing as to its particular duties and functions and the period in which it is to serve. Action by the chair of the board and/or six such members will be required to extend this period.

10. Prohibiting Contracting with Board Members

The Board of Regents shall approve no 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. Regents must self-disclose potential direct or indirect pecuniary or substantial interests in matters pending before the Board of Regents. Potential transactions with relatives of regents should also be disclosed to the general counsel for advice and counsel to avoid any appearances of a conflict of interest.

11. Election of University President

Annually when the budget is passed, the Board of Regents shall conduct a performance review of the president and elect the president of the university by affirmative vote of a majority of its members. The president of the university shall hold office at the pleasure of the board. The president shall not have tenure as president, but may hold tenure as a member of the faculty of the university when such tenure has been approved by the board. The president's salary shall be designated in the appointing order. Any contract for employment shall comply with applicable law, including but not limited to Texas Education Code Section 51.948.

In the event the president is temporarily unable to serve in such capacity, the board

will call an emergency or special meeting to appoint an acting president until such time as the president is able to return to his/her duties.

In case a change in the presidency is made, the board will accept for consideration suggested nominations from a screening committee representing the board, the faculty, the staff, the Alumni Association, the community, and the student body, which committee shall be selected by a majority vote of the Board of Regents. An interim president will be named by the board to serve until such time a president is named.

The board shall announce the name, background, and qualifications of the finalist or finalists for president at least twenty-one (21) days prior to the meeting at which board action is to be taken on the employment of the individual. (Tex. Educ. Code § 51.913).

12. Authority, Duties, and Responsibilities of the University President

The president shall be responsible for developing and maintaining excellence and efficiency within the university.

The president shall be answerable to the Board of Regents and shall have discretionary powers broad enough to effectively administer the university within the policies and guidelines as set forth by the Board of Regents. The president shall have such powers as may be from time to time delegated by the board.

The president shall be prepared to make recommendations to the board on university matters which require board approval.

The president shall be responsible for implementing all board action items affecting the university.

The president shall interpret the board's policies to the faculty and staff and interpret the university's programs and needs to the board. The president shall at all times also represent and interpret the university's programs, needs and interests to the public.

The president shall recommend appropriate operating budgets and supervise expenditures under approved budgets.

The president shall nominate to the board the appointment and reappointment of all members of the faculty, administrative officers and professional staff and recommend such individuals for promotion, retention, or dismissal. The board shall show just cause should they choose to not confirm a nomination.

The president shall develop and maintain efficient personnel programs for all employees, including faculty and administrative officers.

The president shall ensure efficient management of business affairs and physical property and shall recommend additions and alterations to the physical plant.

The president shall assume active leadership in developing private fund support for the university.

Without prior notice or hearing, the president of the university may suspend without pay and immediately remove from the university or assign to other duties with pay any employee, and suspend and immediately remove from the university any student who: (1) poses a continuing danger to persons or property; (2) disrupts the orderly operation of the university; (3) endangers the education of students; or (4) has been convicted by a trial court of any felony or a crime of moral turpitude. The president shall, as soon as possible, notify the general counsel of such action. In such cases the president will set a hearing before the appropriate administrator or committee on the employee's or student's case as soon thereafter as is practicable unless otherwise waived by the employee or student.

The president shall have the ultimate responsibility for the proper administration of all university contracts, agreements, or purchases which are delegated to the president under the board's policy.

The president is authorized to accept grants and contracts and enter into agreements involving the furnishing of educational services with the various agencies of the federal and state governments, foundations, and private corporations and is authorized to advance funds as necessary to finance federal grants and contracts which are on a reimbursement basis provided the university will be reimbursed by the agencies for any cost resulting from such grants or contracts.

13. Election and Duties of General Counsel

Annually when the budget is passed, the Board of Regents shall conduct a performance review and elect the general counsel by affirmative vote of a majority of its members. The general counsel shall hold office without fixed term and at the pleasure of the board. The general counsel's salary shall be designated in the appointing order.

The general counsel shall be responsible for all legal advice on all matters related to the university. He/she shall be responsible for all legal matters with local, state, and federal agencies and officials.

The general counsel shall work in cooperation with the attorney general of the state of Texas, legal counsel engaged in private practice and other legal counsel for agencies of the state of Texas concerning matters that may affect the university.

He/she shall monitor all lawsuits brought against or for the university and assist the attorney general's office in the preparation, trial, and appeal of lawsuits involving the university.

The general counsel's office shall review all contractual obligations entered into by the university *except those that the general counsel has exempted from legal review*. He/she shall make legislative interpretations and be responsible for monitoring all legislative statutes affecting the university. He/she shall be responsible for the determination of student residency classification on appeal. He/she shall perform such other duties which are generally incumbent upon a general counsel of like boards or which shall be delegated to him/her by the board or the president of the university.

14. Election and Duties of the Chief Audit Executive

Annually when the budget is passed, the Board of Regents shall conduct a performance review and elect the chief audit executive by affirmative vote of a majority of its members. The chief audit executive shall hold office without fixed term and at the pleasure of the board. The chief audit executive's salary shall be designated in the appointing order.

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 shall report on a day-to-day and administrative basis to the president of the university. The chief audit executive shall periodically communicate directly with the Finance and Audit Committee chair. It is important that the university auditor be independent of the chief financial and/or accounting officers to ensure independent review of the internal control structure and the financial reporting process.

The chief audit executive shall work in cooperation with the state auditor's office, independent auditors engaged in private practice, and other auditors for entities of the state of Texas concerning matters that may affect the university.

The chief audit executive shall annually submit information on the annual audit plan, work schedule, and staffing plan to the president for his review and to the Board of Regents for their approval. The chief audit executive shall submit an annual report as required by Texas Government Code Chapter 2102. The annual report shall be submitted to the president and the board for review prior to public dissemination.

15. Election and Duties of the Coordinator of Board Affairs/Compliance

Annually when the budget is passed, the Board of Regents shall conduct a performance review and elect the coordinator of board affairs/compliance by affirmative vote of a majority of its members. The coordinator of board affairs/compliance shall hold office without fixed term and at the pleasure of the board. The salary for this position shall be designated in the appointing order.

The coordinator of board affairs/compliance shall manage the Office of the Board of Regents to assist in the administration of the responsibilities of the board and facilitate the role of each regent in the discharge of his or her responsibilities.

The coordinator of board affairs/compliance shall use discretion and independent judgment in establishing reporting mechanisms for the board, shall work directly with the regents, president, and general counsel on a routine basis, shall track information needs of the board and shall work as the campus liaison for the board's honored guests, including legislators, commencements speakers, and other dignitaries.

Other responsibilities for the coordinator of board affairs/compliance shall include taking, preparing and distributing meeting minutes; preparing and distributing meeting agendas; coordinating the review and publication of board policies, filing open meeting notices; notifying board members of all meeting dates; administering all communications and correspondence for the board; planning meetings, workshops, events and retreats for the board; making travel arrangements for board members; maintaining a calendar for the board; keeping board members apprised of upcoming events; ensuring appropriate board representation at functions; maintaining current board address list; and developing and maintaining the Board of Regents' Web page.

The coordinator of board affairs/compliance will coordinate the university compliance program, including developing, maintaining, initiating, and revising compliance policies, procedures, and practices for the general operation of the university and its related activities to mitigate illegal, unethical or improper conduct; identify potential areas of compliance vulnerability and risk; develop and implement corrective action plans for the resolution of problematic issues; and develop, maintain, and implement compliance-related manuals and tools to assist the university community in fulfilling their compliance-related obligations. Additionally, the coordinator of board affairs/compliance will administer the office function for the general counsel and serve as the university policy coordinator.

16. Employees Reporting to the Board of Regents

From time to time, the Board of Regents may employ other individuals who report directly to the Board of Regents. Such employees shall hold office without fixed term and at the pleasure of the board. The salary of such employees shall be designated in the appointing order. Performance reviews may be conducted by the board within its discretion.

17. Report or Agenda for Meetings

At all regular or special meetings of the board, the president of the university shall submit a president's report in writing. Such reports shall follow a uniform format approved by the board, with the proposed form of recommended board orders set out in the first section of the report, followed by sections on faculty and staff, budgetary items, contracts, curriculum, miscellaneous items and explanation. The latter section of the report shall set forth in reasonable detail an explanation of each proposed board order or recommendation. All board orders proposed in a president's report shall be drafted with clarity and brevity to reflect, without the need to refer to extraneous sources, the precise action ordered by the board in each instance. The drafting of multifarious orders for board consideration shall be avoided.

A copy of the president's report shall be submitted to all members of the board and the Coordinator for Board Affairs/Compliance at least ten days in advance of a meeting of the board.

18. Order of Business

All regular and special meetings of the Board of Regents shall be as follows unless the chair otherwise directs:

- A. Approval of the minutes of the preceding meeting
- B. Reports of standing committees
- C. Reports of special committees
- D. Other business
- E. Adjournment

19. Appearances Before the Board

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

- 19.2 Requests to address the board: Requests to appear before the board to make comments on a specific agenda item must be received by the coordinator of board affairs/compliance in writing no later than twenty-four (24) hours before the board meeting at which the individual wishes to speak. The request should set out clearly the nature of the subject matter to be presented relating to a specific board agenda item. In making a request to appear before the board, individuals must give their names and any relevant title or affiliation. Comments on topics not posted on the agenda are not allowed but may be submitted to the coordinator of board affairs/compliance in writing, at any time, for distribution to the regents.
- 19.3 Time allocation: The board will allow up to fifteen (15) minutes for public comment per agenda item. The total time allocated for a specific agenda item may be extended by action of a majority of the board present at the meeting. In any instance, an individual speaker will be permitted no more than three (3) minutes for a presentation. Copies of speakers' comments, and/or other written materials for distribution to the Board of Regents shall be presented to the Coordinator for Board Affairs/Compliance. Public comments will take place during the scheduled public comment period at the beginning of each regular quarterly meeting.
- 19.4 Other meetings: While a specific period for public testimony will be limited to the regular quarterly meetings, written comments are welcome for any scheduled meeting of the Board of Regents. One copy of comments may be forwarded to the Office of the Board of Regents for distribution to the regents.
- 19.5 Scheduling of speakers: When the number of requests to address the board at a given session and for a specific agenda item exceeds the time available, requests will be approved based on the order the written request was received by the coordinator of board affairs/compliance. If, by virtue of time or other constraint a speaker is not able to present his/her comments orally, said comments will be accepted in writing and distributed to the Board of Regents at the meeting.
- 19.6 Special Requests: Special requests to appear before the board for comments at times other than the regular quarterly meetings can be submitted to the coordinator of board affairs/compliance for consideration by the chair of the Board of Regents.

20. Annual Budget for University Operations

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. Copies of all proposed operating budgets shall be submitted in writing to all members of the board at least one week in

advance of such meeting of the board.

21. Monthly Financial Report of University Operations

The president of the university shall submit a monthly operating statement to the members of the board showing balance sheet by fund groups, statement of income, statement of expenditures, unexpended balances, encumbrances, and unencumbered balances.

All institutional books, records, ledgers and accounts shall be kept and maintained in conformity with recommendations of the state auditor and the state comptroller of public accounts, subject to approval by the board.

Blanket fidelity bonds, approved by the board, shall be required to cover all employees of institutions under the jurisdiction of the board.

22. Student Admission, Degree Requirements, Tuition and Fees

Student admission standards, entrance requirements, and degree qualifications shall be determined and prescribed by the institution, subject to the approval of the board. No otherwise qualified applicant for student enrollment shall be denied admission solely on the basis of religious or racial tests. Enrollment preference shall be given to residents of the state of Texas. Tuition, student fees, and room and board rates shall be established by the institution, subject to legislative direction and approval by the board.

Each member of the board shall receive copies of major publications of the university.

23. Employment of Bond Legal Counsel

The board shall employ bond counsel as appropriate to advise and represent it in any matters.

24. Reimbursement of Expenses

Reimbursement of expenses is allowed for members of the board for: attending regular and special meetings of the board; visiting the university at the request of the board or the chair of the board; attending formal committee meetings, and such other special and limited purposes as the board may expressly authorize in accordance with state regulations. Verified expense accounts shall be submitted to the Office of the Board of Regents for payment and the same shall be subject to

review and control by the board.

25. Authority for Official Statements

The Board of Regents hereby reserves the authority and responsibility for determining matters of policy and official statements concerning any political or other subjects of an obviously controversial nature which represents an official policy, statement, or position of the Board of Regents, or of the university. Statements, policies, and positions by the Board of Regents on such matters shall be made by the board through the chair of the board or the president of the university. No regent, officer, faculty or staff member shall have the authority to speak for or issue any public statements on policy for and on behalf of the Board of Regents, or of the university, on such matters without prior approval of the board.

26. Board Evaluation

Annually when the budget is passed, the Board of Regents will conduct a self-evaluation of its responsibilities and expectations. This evaluation will consider 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 university's mission statement and strategic plan.

27. Provisions to Amend Rules and Avoid Conflict with Statutes

The rules and regulations herein provided may be amended by a majority vote of members of the board at any regular meeting or at a special meeting of the board called for that purpose. Proposed amendments shall be filed in writing with the Coordinator of Board Affairs/Compliance and copies submitted to each board member at least fifteen (15) days before the same are considered by the board.

Should all or any part of the foregoing rules and regulations conflict with any constitutional, statutory or legislative appropriations provisions, they shall be amended to conform therewith.

Policy Name	Policy Number	Page
Access to Facilities	14.7	1
Alcohol Service	13.7.	3
Asbestos Management	13.4.	5
Class Attendance	6.7.	8
Contracting Authority	1.3.	10
Course Grades	5.5.	12
Electronic Personnel Action Form	11.8.	15
Employee Training	11.11.	16
Employment of Persons with Criminal History	11.12.	19
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Access to Facilities

Original Implementation: Unpublished

Last Revision: February 2, 2021

Purpose

This policy establishes responsibility for university security and outlines a process for the issuance and control of campus keys and card access.

General

The security of the university is the responsibility of several departments on campus. First, the University Police Department (UPD) is responsible for overall campus security. Second, the various head administrators are responsible for their respective areas. Third, the Physical Plant Department (PPD) is responsible for maintaining access control hardware, and a campus key control system. Fourth, Information Technology Services (ITS) is responsible for maintaining card access.

Other than during normal working hours, all campus buildings will be locked. Faculty and staff may be issued keys or card access to university buildings upon the request of the head administrator responsible for the building or area of the building. An individual entering or leaving a locked building shall be responsible for securing the door and may be held liable for any loss or damage to university property resulting from failure to do so.

An authorized individual entering or leaving a locked building shall not permit any individual to enter who would not normally be permitted to enter the building or space during hours the building or space is locked. An authorized individual may have guests so long as the guests stay in the proximity of the faculty or staff member having the assigned key or card access, and the authorized individual assumes full responsibility for their presence. In spaces with card access systems, employees shall use the appropriate key card to gain access rather than bypassing the tracking system by using hand keys unless the card access system fails.

Each head administrator will be responsible for the issuance of card access and keys to the employees in their area of responsibility and will be responsible for the level of security in that area. The PPD will only issue keys to individuals at the written request of the head administrator. ITS will only issue card access individually at the written request of the head administrator. It will be the responsibility of the head administrator of each area to maintain a record of who has been issued keys and to collect keys from departing employees. The person to whom a key and/or card access has been issued shall be held responsible for the use of that key and/or card access until it has been properly returned to the corresponding head administrator. The PPD Lockshop reserves the right to perform a key audit at any time.

If a key is lost or stolen, it should be immediately reported to the employee's supervisor, the PPD, and the UPD. If a key card is lost or stolen, it should be immediately reported to the employee's supervisor, ITS, and the UPD. Failure to report lost or stolen keys or key cards in a timely manner may result in disciplinary action up to and including termination. Duplication of university keys or key cards is strictly forbidden. If a duplication of a key or key card is made without university consent and the individual is identified, the key or key card will be recovered and the individual(s) involved in duplicating key(s) or key card(s) shall be reported to their administrative supervisor for appropriate disciplinary action up to and including termination.

Employees shall not loan or transfer keys or key cards to anyone. Individuals involved in loaning keys or key cards shall be reported to their respective administrative supervisor for appropriate disciplinary action up to and including termination.

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

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

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

UPD is responsible for locking and unlocking buildings and for determining the hours that buildings will be open. Requests for special events, schedule changes, etc. should be directed to UPD and PPD via a work order.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Physical Plant Department

Forms: None

Board Committee Assignment: Buildings and Grounds

Alcohol Service

Original Implementation: July 29, 2014

Last Revision: February 2, 2021

The sale and service of alcohol on campus is prohibited except in designated special use venues as permitted by this policy.

Special Use Venues

The president may designate campus facilities/areas as special use venues. The president may amend this list as appropriate and may designate a campus facility or area as a special use venue on a temporary basis. The director of auxiliary services will maintain the most current list of designated special use venues. Tailgating areas, as designated by the Department of Intercollegiate Athletics, and events at the Ed and Gwen Cole Art Center, as approved by the dean of the College of Fine Arts, are exempt from this policy if conducted in compliance with the Department of Intercollegiate Athletics Policies and Procedures Manual or The Ed and Gwen Cole Art Center and the Griffith Gallery (16.27) university policy, respectively.

Licensed Server

Only the university's contracted food service provider may sell and/or serve alcoholic beverages in special use venues upon proper university authorization and in accordance with applicable law.

Application

Persons or groups seeking permission to have alcoholic beverages sold and/or served in a special use venue must make application with the student center reservations office. This application must be submitted:

- no later than 21 days in advance of the event when the sponsor seeks to use their own existing coverage with the university named as additionally insured;
- no later than 14 days in advance of the event when the university arranges for insurance coverage.

Each application will be reviewed based upon the nature of the event, organizational planning, frequency of the event, group(s) served by the activity, activity focus, appropriate level of insurance, and an appropriate level of accompanying food service.

Police

Police officers may be required for any event where alcohol is sold and/or served. The number of officers required will be determined by the chief of police. The event sponsor will be responsible for the cost of the officers assigned.

Funds

The only university funds that may be used to purchase alcohol are approved discretionary accounts. Appropriated funds, funds under the control of the athletics department, or funds generated by research grants and contracts may not be used to purchase alcohol. Texas Government Code Section 2113.012 prohibits use of appropriated funds to compensate an officer or employee who uses

alcoholic beverages on active duty; therefore, alcoholic beverages may not be served at official functions between 8 a.m. and 5 p.m., Monday through Friday.

Final

In all cases, possession or use of alcohol must be in full compliance with applicable state laws including the Texas Alcoholic Beverage Code. Nothing in this policy shall be taken as an assumption of risk or responsibility on the part of the Board of Regents, the university or its employees for any injuries or damages, whatever kind, resulting from any person's possession or use of alcohol, whether such use is legal or illegal.

Cross Reference: Tex. Gov't Code § 2113.012; Student Center Operations (16.26); Illicit Drugs and Alcohol Abuse (13.11); The Ed and Gwen Cole Art Center and the Griffith Gallery (16.27); Department of Intercollegiate Athletics Policies and Procedures Manual

Responsible for Implementation: Vice President of Student Affairs

Contact for Revision: Vice President of Student Affairs

Board Committee Assignment: Building and Grounds

Asbestos Management

Original Implementation: July 12, 1988

Last Revision: February 2, 2021

Purpose

This policy affirms that asbestos containing materials in Stephen F. Austin State University facilities are managed in accordance with current applicable regulations and provides guidance in protecting human health in the presence of asbestos within the university.

General

The Environmental Health, Safety, and Risk Management Department (EHSRM) develops procedures for asbestos management, inspects and identifies the presence of asbestos in university buildings, ensures proper management and removal of asbestos materials, and provides training to affected personnel.

Stephen F. Austin State University is committed to complying with applicable federal and state regulations promulgated by the U.S. Environmental Protection Agency (EPA), U.S. Occupational Safety and Health Administration (OSHA), and the Texas Department of State Health Services (TDSHS) related to asbestos awareness, management, and removal. These regulations include:

- 40 CFR 763, Subpart E – EPA Asbestos Containing Materials in Schools
- 40 CFR 763, Subpart G – EPA Worker Protection Rule
- 40 CFR 61, Subpart M – National Emissions Standards for Hazardous Air Pollutants (NESHAP)
- 29 CFR 1910.1001 – OSHA General Industry Standard for Asbestos
- 25 TAC 295, Subchapter C – TDSHS Occupational Health, Texas Asbestos Health Protection

Asbestos Program Manager Responsibilities

The SFA Asbestos Management Planner (AMP) is the EHSRM employee who is licensed by the State of Texas to inspect for asbestos and recommend response actions for identified asbestos containing materials in university facilities. The responsibilities of the APM include:

- Maintain a current license issued by the Texas Department of State Health Services as an asbestos inspector and management planner by satisfactorily completing the appropriate training and examination administered by the Texas Department of State Health Services. The APM will stay abreast of all pertinent regulations regarding asbestos.
- Establish university policies and procedures for the proper management and removal of asbestos materials in accordance with above referenced regulations.
- Establish an asbestos awareness training program to be completed by university employees who might reasonably be expected to come into contact with asbestos

material during the performance of their university employment.

- Survey university buildings for the presence of asbestos prior to any renovation or demolition activities by collecting samples for analysis by an accredited laboratory and reviewing building records.
- Recommend response actions to maintenance personnel, contractors, and consultants based on the identification of asbestos in university facilities.
- Schedule and manage asbestos abatement projects conducted by licensed abatement and consultant contractors.
- Maintain a current file, located and backed up on the university server, on all university buildings and facilities previously identified as containing any form of asbestos at 1% or above.
- Obtain asbestos free certificates from contractors and engineers when possible for all newly constructed facilities on campus.

University Deans, Chairs, Directors, and Supervisors Responsibilities

- Ensure compliance with all current applicable regulations referenced above.
- Ensure that employees who are reasonably expected to work in areas containing asbestos receive asbestos awareness training upon initial work assignment and refresher training annually.
- Consult with EHSM and the AMP prior to conducting any maintenance, renovation, or demolition work which will disturb building materials. These materials must be inspected for the presence of asbestos prior to initiating the work activities.
- Report to EHSM or the AMP any deteriorating building materials that are suspect for containing asbestos.
- Stop work activities when any suspected asbestos containing materials are discovered which were not previously inspected by the AMP.
- Include asbestos abatement in university contracts for major building renovations and demolition.

University Employees Responsibilities

- Comply with all current applicable regulations referenced above.
- Attend all required trainings upon initial job assignment and refresher training annually.
- Notify his/her supervisor and stop work any time a question arises relating to work which may involve contact with suspected asbestos materials, and when the work requirements are anticipated that include a wall, ceiling, floor, or partition is to be penetrated, scored, drilled, refinished, or otherwise altered or pipe insulation is to be removed, damaged, or altered or boilers, chillers, hot water tanks, heat exchangers, valves, and piping are to be repaired, changed, or altered in a way that may affect the insulation or paint removal is to be done to a surface that could possibly contain asbestos.

Contractors Responsibilities

Contractors working on university property must comply with the same guidelines listed above. In addition, contractors must secure approval from the AMP prior to beginning work and must consult with the AMP when any question or potential problem arises. Contractors must also provide an asbestos-free certification when possible for all newly constructed facilities on campus.

Cross Reference: 40 C.F.R. 763 Subparts E, G; 40 C.F.R. 61 Subpart M; 29 C.F.R. § 1910.1001; 25 Tex. Admin. Code Ch. 295, Subchapter C; SFA Asbestos Management Manual

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

Class Attendance

Original Implementation: November 9, 1981

Last Revision: February 2, 2021

Students are expected to attend all classes, laboratories, and other class-related activities on a regular and punctual basis. Attendance policies will be stated in the course syllabus. For those classes where attendance is a factor in the course grade, an accurate record of attendance will be maintained.

Absences

At the discretion of the instructor, students may be excused from attendance for reasons such as health, family emergencies, or student participation in approved university-sponsored events. When possible, students should notify their instructors in advance about absences. Students are responsible for providing documentation in a timely manner to the instructor for each absence. The instructor determines whether such documentation is satisfactory.

Students missing classes, other than for university-sponsored trips, should contact the Office of Student Rights and Responsibilities (OSRR) and request that an absence notification be sent to the instructor(s). The notification is not an excuse, and is not evaluated by OSRR. The notification is only provided as a courtesy to the student and the student's instructor(s).

If participating in university-sponsored events, announcements in mySFA may constitute official notification. Faculty members sponsoring activities that require their students to be absent from other classes must submit to the provost and vice president for academic affairs an explanation of the absence, including the date, time, and an alphabetical listing of all attending students. If approved by the provost and vice president for academic affairs, this information will be posted on mySFA.

Whether absences are excused or unexcused by the instructor, a student is still responsible for all course content and assignments. Students with accepted excuses may be permitted to make up work for absences equaling no more than 15% of the scheduled course meeting time for the term, depending on the nature of the missed work. The timeline for completing make-up work will be determined by the instructor.

Cross Reference: General Bulletin; Student Handbook and Activities Calendar; Military Service Activation (6.14); Tex. Educ. Code §§ 51.911-.9111; 19 Tex. Admin. Code §§ 4.4, .9

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

Contracting Authority

Original Implementation: July 18, 1988

Last Revision: February 2, 2021

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

- I. No member of the Board of Regents shall enter into the discussion, make motions, or vote on a contract, purchase, or agreement of any character in which the member or member's family directly or indirectly has pecuniary or substantial interest unless the general counsel has advised that there is a legally permitted exception to this rule with the regent making the appropriate public disclosures.
- II. The following items shall be submitted to the Board of Regents for approval at either a regular board meeting or a special called board meeting. Each item shall be presented to the board for consideration.
 - a. Contracts, purchases, or agreements in the amount of \$500,000 or more, whether the amount is income or expenditure, for items identified in Section A of Policy 1.4, Items Requiring Board of Regents Approval.
- III. The president shall be delegated the responsibility and authority to enter into contracts, purchases, and agreements for sums less than \$500,000, or amounts over \$500,000 to the extent authorized in Section B of Policy 1.4, Items Requiring Board of Regents Approval, whether the amount is income or expenditure, and to enter into all grants and agreements funded by private individuals, governmental agencies, and foundations without regard to the amount, unless otherwise limited by the Board. At the option of the president, contracts, purchases, and agreements for sums less than \$500,000 may be submitted to the Board of Regents for approval.
- IV. The general counsel's office shall review all contracts and agreements prior to signature, except those that the general counsel has exempted from legal review.
- V. The president may delegate to other employees of the university power to contract, purchase, or enter into agreements delegated to the president in Section III of this policy. The president will remain responsible for all contracts, purchases, and agreements so delegated, and for the proper administration of all grants and agreements funded by private individuals, governmental agencies, and foundations, regardless of delegation of power to contract, purchase, or enter into agreements.
 - a. In the absence of the president, or at such time as the president is unavailable to sign a document by a required deadline, the following individuals are authorized to sign on his behalf: (listed in order of priority) provost and vice president for academic affairs, vice president for finance and administration, vice president for university affairs, associate vice president for academic affairs. All other delegations must be specific and in writing to be effective.

- b. All delegations of contracting authority to persons other than those listed above which were made by a previous president shall be void once a new president assumes office.
- VI. The department responsible for originating the contract is responsible for maintaining it for the applicable records retention period, either in their own files or by ensuring it has been loaded in the university's contract management system.

Cross Reference: Items Requiring Board of Regents Approval (1.4)

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Finance and Audit Committee

Course Grades

Original Implementation: January 25, 2000

Last Revision: February 2, 2021

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

Recorded Grades

The following table indicates recorded grades, performance and action descriptions, and the quality points earned that are used to calculate the grade point average (GPA).

GRADES AND GRADE POINTS		
Grade	Description	Grade (Quality) Points
A	Excellent	4 points per semester hour
B	Good	3 points per semester hour
C	Average	2 points per semester hour
D	Below Average	1 point per semester hour
F	Failed	0 points per semester hour
QF	Quit Failing	0 points per semester hour
WF	Withdrew Failing	0 points per semester hour
DC	Dropped: No Grade	No GPA hours or points
K	Study Abroad Grade Posted	No GPA hours or points
KH	Study Abroad Grade Pending	No GPA hours or points
P	Passing	No GPA hours or points
R*	Developmental Class Grade	No GPA hours or points
T*	Transfer Class Grade	No GPA hours or points
W	Withdrew: No Grade	No GPA hours or points
W6	Dropped: No Grade, Counts for 6-drop	No GPA hours or points
WH	Incomplete	No GPA hours or points
WP	Withdrew Passing	No GPA hours or points

Withheld Grades

At the discretion of the instructor of record and with the approval of the academic unit head, a grade of WH will be assigned only if the student cannot complete the course work because of unavoidable circumstances. Students must complete the work by the deadline set by the instructor of record, not to exceed one calendar year from the end of the semester in which they receive a WH, or the grade

automatically becomes an F, except as allowed through policy [i.e., Military Service Activation (6.14)]. If students register for the same course in future semesters, the WH will automatically become an F and will be counted as a repeated course for the purpose of computing the grade point average.

Grade Point Average

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

- A = four grade points per semester hour;
- B = three grade points per semester hour;
- C = two grade points per semester hour;
- D = one grade point per semester hour; and
- F, QF, and WF result in zero grade points.

The GPA is determined by dividing the sum of the grade points earned at SFA by the total number of GPA eligible hours recorded on the SFA transcript. In addition, repeating a course may affect the grade point calculation.

Repeat Grades

Students who make an F in a course can get credit only by repeating the course. Undergraduate students who want to repeat courses to improve their GPA at SFA must repeat those courses at SFA. For any course that is repeated at SFA, the grade earned in the most recent enrollment will be used to calculate the GPA. Credit hours for courses taken at other institutions to replace credit hours earned at SFA may be used to meet graduation credit-hour requirements, but not for GPA calculation.

Mid-Semester Grades

Mid-semester grades will be posted for 0000-, 1000- and 2000-level courses during fall and spring semesters. These grades will be posted before the last day to drop courses each semester or appropriate part of term. Appropriate academic personnel will provide students with recommendations and options regarding academic performance.

Final Grade Reporting

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

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

Course grades may not be posted publicly.

Students who have not yet graduated from high school will receive a numeric grade from their instructor(s) in order to comply with the parent high school's grade entry guidelines. These numeric grades will be converted to letter grades for official final SFA grades and transcript utilizing the following conversion standards.

Scale for Numeric Equivalent Grade Range	SFA Letter Grade
90-100 (with maximum grade of 110)	A
80-89	B
70-79	C
60-69	D
0-59	F

Grade Changes

Grade changes within three semesters of the original posting should be entered into the online grade change system. Older grade changes require submission of a Grade Change Form with the appropriate approval signatures. During grading cycles, access to the online grade change system for the current semester is suspended until 19 days after the last day of finals. Grades should only be changed in cases of error or, in the case of WH, when the course requirements have been completed.

Cross Reference: General and Graduate Bulletins; Final Course Grade Appeals by Students (6.3); Class Attendance (6.7); Military Service Activation (6.14); Family Educational Rights and Privacy Act, 20 U.S.C. § 1232g;

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs; Registrar

Forms: WH and Grade Change Form

Board Committee Assignment: Academic and Student Affairs

Electronic Personnel Action Form

Original Implementation: Unpublished

Last Revision: February 2, 2021

Purpose

This policy identifies the Electronic Personnel Action Form (EPAF) as the method used to document administrative approval and to notify payroll/human resources (HR) of changes in employment status for all employees, including graduate and undergraduate students.

General

EPAFs should be prepared for the following reasons:

1. Employment of exempt or non-exempt positions including graduate students and undergraduate students;
2. A change in the employee's title, salary (outside of the annual budget process), FTE percentage, funding, department, or if an employee is being reappointed, has an overload, or is receiving a salary supplement;
3. Whenever an employee is separating from employment with the university including retirements, voluntary and involuntary terminations, and at the end of an assignment when the employee will not be returning the next semester; or
4. Reemployment of those employees not included in the budget process each fiscal year, such as grant employees.

EPAFs should be completed, electronically approved, and routed to HR before the employee starts to work, immediately at the time of the change of status, or immediately at the end of the assignment. Employees who originate and/or approve EPAFs must be trained and authorized by HR before being granted access to the EPAF through Self-Service Banner.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Electronic Personnel Action Form available through Self Service Banner

Board Committee Assignment: Academic and Student Affairs

Employee Training

Original Implementation: January 28, 2003

Last Revision: February 2, 2021

Purpose

This policy affirms that the university is committed to provide training and development opportunities to faculty and staff within the availability of funds and as authorized under the State Employees Training Act. Such training and development shall be aimed at the needs of the individual employee and the university. Training and development will be offered to improve personal and professional growth and to prepare the employee for assuming jobs of greater responsibility.

General

It is the goal of the university to promote professional and personal growth and learning opportunities that support lifelong learning and assist individuals in working effectively together within their departments and throughout the university community. Training and development will assist the university community in adapting to change, increasing productivity, and improving the quality of the work environment and the employees' relations with each other.

Employee Training and Development Programs

The State Employees Training Act permits the university to use public funds for training and development programs related to either current or prospective duty assignments. The university has established regulations and guidelines for three areas of training and development. The three areas are:

1. **In-Service Training Program:** Training which is provided within the university to support the continued professional and personal growth of all employees in their work. Special training emphasis is made in the areas of service excellence, diversity, communication, and effective management. In-service training includes required compliance training, on-the-job training, preparation for job assignment, and continuing training programs which are basically job oriented to equip an individual to properly perform assigned tasks, to develop additional work capabilities, or to increase the employees' level of competence.
2. **Out-of-Agency Staff Development Program:** Education or training authorized by the university for selected employees. Training may consist of workshops, seminars, institutes, training sessions, college courses (with or without academic credit) and other special programs or activities offered internally by departments of the university, or outside the university by another source within or outside the state of Texas.

If the training is paid for by the university, and during the training period the employee does not perform their regular duties for three (3) months or more, the employee must work for the agency following the training for at least one (1) month for each of the training periods or repay the university for the cost of the training and salary.

The university shall require the employee to agree in writing to comply with the above requirements before the training begins. The university's Board of Regents, through action in an open meeting, may waive the requirements prescribed above and release the employee from the obligation if such action is in the best interest of the university or is warranted because of an extreme personal hardship suffered by the employee.

3. Internship Training Program: The type of learning experience which can be obtained only through actual work experience.

Tuition reimbursement as part of a training program is available only in accordance with policy 12.5, Lumberjack Education Assistance Program.

The following individuals are authorized to approve participation in the training and development program:

1. In-Service Training Program: Immediate supervisor and/or department head
2. Out-of-Agency Staff Development Program: Immediate supervisor, department head, dean or director
3. Internship Training Program: Department head, dean or director, vice president, and president

Training Responsibilities

Training is the responsibility of every supervisor and manager at all levels of management. Supervisors and managers are responsible for:

- providing employees on-the-job training in the proper performance of tasks,
- providing a climate in which training and development of employees is encouraged,
- integrating an employee's growth and development needs with the goals and objectives of the university,
- ensuring that employees complete all required compliance training in established timeframes; and
- completing surveys and providing information to human resources that identifies required and other appropriate trainings for their employees.

Human Resources will:

- establish, administer and coordinate training policies and programs to meet university training requirements as authorized under the State Employees Training Act and the policy established herein,
- develop programs which support the university's mission and goals and the continued growth and education of the faculty and staff,
- review and approve training programs open to the university community,
- monitor training programs and provide consulting training assistance to departments as resources allow, particularly in regard to In-Service Training Programs,
- monitor and track employee training activities including required compliance training, and

- maintain university training records and files.

Cross Reference: State Employees Training Act, Tex. Gov't Code §§ 656.041-.104; Lumberjack Education Assistance Program (12.5)

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

Employment of Persons with Criminal History

Original Implementation: August 1, 1983

Last Revision: February 2, 2021

Purpose

This policy establishes guidance when considering the employment of persons with a criminal history.

Definitions

For purposes of this policy, **moral turpitude** shall include, but is not limited to dishonesty, giving of a false statement, fraud, and theft.

General

No person who has been convicted of a felony, as defined by federal or state law, or is currently on probation for a felony or convicted of a misdemeanor involving moral turpitude shall be employed at the university in a security sensitive position. Exceptions to this policy may be made on the basis of the following factors:

- the immediate past employment of the applicant or employee;
- the specific duties of the position.
- the number of offenses committed by the individual.
- the nature and seriousness of each offense.
- the length of time between the offense and the employment decision.
- the efforts by the individual at rehabilitation.
- the accuracy of the information on the individual's employment application.

All employees are required to disclose a felony or misdemeanor conviction involving moral turpitude whether prior to or during employment. Employees should disclose the conviction to their department head who shall inform the director of human resources.

This policy is designed to further protect the safety and welfare of the students, faculty, and staff and property at the university.

Cross Reference: Security Sensitive Positions (11.25)

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

Expressive Activities

Original Implementation: February 2, 2021

Last Revision: None

Freedom of expression is of critical importance. It is imperative that public institutions of higher education ensure free, robust, and uninhibited debate and deliberations. Stephen F. Austin State University (SFA) reaffirms its commitment to the freedoms of speech, expression and assembly by establishing this policy. Individuals have the right to assemble, to speak, and to attempt to attract the attention of others, and corresponding rights to hear the speech of others when they choose to listen, and to ignore the speech of others when they choose not to listen.

The rules articulated in this policy apply to all students, faculty, staff, and their official organizations, as well as all other persons and groups. Due to practical administrative realities, this policy does not apply to university agents and employees when they are acting in the course and scope of their agency or employment. This exception also includes the official activities of the SFA Alumni Association and the SFASU Foundation.

Common outdoor areas of SFA's campus are deemed traditional public forums. Persons not affiliated with the university are free to express their views orally, by sign or exhibit, on any topic subject to the rules stated in this policy and other applicable SFA policy and procedures.

Students, faculty and staff are free to express their views, individually or in organized groups, orally, by sign or exhibit, on any topic, in all parts of the campus, subject to the rules stated in this policy and other applicable SFA policy and procedures. Students, official organizations or employees who unduly interfere with the expressive activities of others on campus may be subject to disciplinary action

Teaching, research and other official functions of the university shall have priority in allocating the use of space on campus.

Definitions

1. "Student" shall mean any person registered for academic credit at the university.
2. "Faculty" and "Staff" shall mean any person employed by the university.
3. "Official organization" shall mean any organization recognized by the university.
4. "Traditional public forum" means a place, widely recognized in law, which has been intended for the use of the public, and has been used for purposes of assembly, communicating thoughts between citizens, and discussing public questions when the principal function of the location would not be disrupted by expressive activity.

5. "Assembly" shall mean a group of persons organized and united at the same place, usually for some common purpose.
6. "Demonstration" shall mean a public exhibition of the disposition, perspective, or opinion of a group of persons toward a controversial issue, or other matter, made by picketing, protesting, parading, etc.
7. "Petitions" shall mean a document embodying a formal written request made to an official person or organization.
8. "Handbills" shall mean a printed sheet that is distributed by hand.
9. "Sign" means any method of displaying a visual message to others, except transferring possession of a copy of the message will be considered distribution of literature and not a sign.
10. "Banner" is a sign hung from a structure, or between two buildings, structures, or poles. A banner posted as part of a manned exhibit may be considered to be a "sign".
11. "Kiosk" is an outdoor structure designated by the university for the posting of signs.
12. "Yard sign" is a temporary outdoor sign displayed above the ground. Yard signs must not exceed 18 inches x 24 inches in size.
13. "Exhibit" is a temporary outdoor display used for marketing or informational purposes. This includes all free-standing products, sandwich boards, easels, etc.
14. "Chalking" is use of water-soluble sidewalk chalk on paved areas.

Assembly and Demonstrations

These rules shall govern the conduct of all assemblies and demonstrations on university property or at university-sponsored events.

1. Assemblies and demonstrations must be conducted in compliance with these rules, all other applicable university policies, and must not:
 - a. result in a breach of peace or violation of law;
 - b. negatively impact the security, health and safety of persons and/or property on campus; interfere with the free and unimpeded flow of pedestrian and vehicular traffic on campus or the entry or exit into university buildings;
 - c. materially and substantially disrupt the normal activities of the university; or
 - d. result in damage to the university's grounds, buildings, and facilities.
2. No person conducting or participating in an assembly or demonstration on university property or at university-sponsored events may advocate the deliberate violation of the law. For the purposes of this section, "advocate" means speech directed to inciting or producing the audience for imminent action with the likelihood of producing such action, as opposed to the abstract espousal of the moral propriety of a course of action.
3. Students, faculty, staff and their official organizations may assemble and/or demonstrate,

including to distribute written material, anywhere on university grounds without a permit or permission from SFA between the hours of 8 a.m. and 7 p.m., Monday through Saturday, as long as the assembly and/or demonstration adheres to all applicable university policies and procedures.

4. All other persons and groups may assemble and demonstrate in common outdoor areas between the hours of 8 a.m. and 7 p.m., Monday through Saturday, as long as the assembly and/or demonstration adheres to all applicable university policies and procedures, and a properly submitted Grounds Reservation form has been approved.
 - a. Requests by outside groups to reserve campus grounds for an assembly and/or demonstration, including to distribute written material, must be made in writing using the appropriate form. These forms are available in the Office of Student Engagement and on the Student Engagement website. The completed form must be submitted to the assistant dean of student affairs for programs for approval and must be received at least forty-eight (48) hours in advance of the activity. This advance notice allows the university to review whether such assembly or demonstration will be in compliance with these rules and to arrange for adequate security. Any approval or disapproval will be made using only content-neutral and viewpoint-neutral criteria. Each form requires the applicant to provide his/her name, address and phone number, in addition to signing and dating the form.
 - b. Although a reservation may be requested as many times per year as desired, no single reservation request can exceed five (5) working days. Persons or groups reserving space and not using the space without providing notice may receive a verbal warning for their first offense, a written warning for their second offense and after a third occasion may be restricted from reserving campus grounds for a period not to exceed one year from the date of the last infraction.
5. The university may designate certain days in which outdoor spaces may not be used. These include, but are not limited to, commencements, Showcase Saturdays or other admission events, final exam week, and new student orientation days. Appeals may be made to the dean of student affairs.
6. Persons or groups who violate this policy may, based on the severity of the offense, be restricted from using university facilities or grounds. Such restriction will be made by the assistant dean of student affairs for programs and may be appealed to the dean of student affairs.

Petitions and Handbills

These rules shall govern the circulation and distribution of all petitions and handbills on university property.

1. Students, employees, and their approved organizations may circulate and distribute petitions and handbills on university property, except in academic buildings unless otherwise authorized by law.

2. Visitors, defined as any persons who are not presently enrolled as a student nor are presently employed by the university, may circulate and distribute petitions and handbills as part of an assembly or demonstration.
3. Students, employees, and their approved organizations shall require no previous approval to circulate or distribute petitions and handbills on university property so long as the individual or group(s) sponsoring the petitions or handbills is clearly identified in writing on the material itself.
4. All persons or organizations seeking to distribute a petition or handbill without identifying information must complete a registration form with the Office of Student Engagement and deposit a true and correct copy of the petition or handbill to be circulated or distributed.
5. Areas and times of circulation and/or distribution are as follows:
 - a. Students, employees, and their approved organizations may circulate and distribute properly registered (if required by this policy) petitions and handbills on university property at any time and in any location, except in academic buildings unless otherwise authorized by law.
 - b. Visitors with an approved grounds form may circulate and distribute handbills in common outdoor areas between the hours of 8 a.m. and 7 p.m., Monday through Saturday.
 - c. Handbills may not be placed on parked vehicles or any other stationary object, (i.e., table, bench, etc.) as a means of distribution.
6. Circulation and distribution by all parties must be conducted in compliance with these rules and university policy and 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 and substantially disrupt the normal activities of the university.
7. The person or organization circulating or distribution these materials shall clean and remove any litter which results from this activity.
8. No person or organization may circulate or distribute a petition or handbill that:
 - a. violates the university's policy on solicitation;
 - b. contains material that is obscene or libelous; or
 - c. advocates the deliberate violation of law. For the purposes of this section "advocacy" means preparing the group addressed for imminent action and directing it to such action with the likelihood of producing that action, as opposed to the abstract espousal of the moral propriety of a course of action.
9. In addition to these rules, petitions and handbills to be circulated and distributed by students, faculty, and staff, and their approved organizations, in:
 - a. residence halls must comply with the rules governing residence halls; and
 - b. the Baker Pattillo Student Center must comply with the rules governing this building.

Signs and Exhibits

All individuals or groups may display a sign as part of an assembly or demonstration. Signs on sticks, poles, or otherwise attached to any device are prohibited.

A. Posting Signs on Kiosks

1. Only students, faculty, staff and their official organizations may post signs on kiosks. No advance permission is required so long as the sponsoring individual or person is clearly identified in writing on the material. Each sign posted on a kiosk must identify the student, employee or organization that posted the sign by using the full name of the individual or organization and contact information.
2. All persons or organizations seeking to display a sign without identifying information must complete a registration form with the Office of Student Engagement and deposit a true and correct copy of the sign to be displayed.
3. Students and employees posting signs as individuals may not post any sign advertising goods or services for sale except at locations designated for that purpose [see Solicitation on Campus (16.25)].
4. Due to space considerations, no sign posted on a kiosk may be larger than 11 inches by 17 inches.
5. Each sign must state the date the sign was posted or the date of the event being advertised.
6. Students, faculty, staff and their official organizations must take care to use the names and marks of the university on postings only in ways that are allowable and never in a way that would give the impression an event was sponsored by the university if that is not the case.
7. Signs may not be posted more than 14 days before the date of the event they advertise.
8. The person or organization that posts a sign on a kiosk must remove that sign no later than 14 days after it was posted, or 24 hours after the event it advertised has concluded, whichever is earlier. The university reserves the right to remove sign from kiosks after the date of the event has passed.
9. No sign may be posted on a kiosk over another properly posted sign.
10. No person or organization may post more than two of the same signs on any one kiosk at the same time. If space is limited, the university reserves the right to remove multiple signs for the same event, program, or service, or signs sponsored by the same individual or organization, even if each is materially different.
11. A list of all officially designated kiosks and of locations where students, faculty and staff may post signs advertising goods or services for sale will be available in the student engagement office and on their website.

B. Signs in Other Designated Locations

Each academic or administrative unit of the university may authorize the posting of signs in spaces that unit occupies and controls. The use of posting space controlled by academic or administrative units may be limited to official statements or business of the unit, or to certain subject matters of interest within the unit, or to signs posted by persons or organizations affiliated with the unit.

C. Removal of Signs

The dean of student affairs, or their designee, may remove any sign that violates any of the rules outlined in this policy, or any sign that meets the legal standards below:

1. A sign may be removed if it contains expressions that are an incitement to imminent lawlessness. Such removals may be conducted only with the advice of the general counsel and approval of the vice president for university affairs. Careful consideration must be given to the actual circumstances surrounding such expression, and removal can only occur if it appears that such provocation causes an immediate likelihood of violence or illegal acts. Advocacy of lawlessness is insufficient, and the speech must be directed to inciting or producing imminent lawless action and likely to incite or produce such action.
2. A sign may be removed if it contains "fighting words" expressions. Such removals may be conducted only with the advice of the general counsel and approval of the vice president for university affairs. "Fighting words" are similar to expressions of imminent lawlessness, except they are addressed to individuals on a personal scale. Only those "fighting words" that pose an immediate likelihood to provoke the average person to retaliation and thereby cause a breach of the peace should be considered under this exception. Again, careful consideration must be given to the actual circumstances surrounding such expression.
3. Signs may be removed if they contain obscenity. Such removals may be conducted only with the advice of the general counsel and approval of the vice president for university affairs. In determining what constitutes obscene material, a three-part test applies:
 - a. The average person applying contemporary community standards would find that the work taken as a whole, appeals to the prurient interest;
 - b. The work depicts or describes in a patently offensive way, sexual conduct specifically defined by the applicable state law; and
 - c. The work, taken as a whole, lacks serious literary, artistic, political or scientific value.

II. Banners, Yard Signs and Exhibits

Banners, yard signs and exhibits may be posted and displayed only by academic or administrative departments of the university unless required by law. Those that do not clearly identify the sponsoring department may be removed.

III. Tables

Students, employees and their official organizations may set up tables from which to display literature and disseminate information, subject to this policy.

A. Locations

Students, employees and their official organizations may set up tables in any outdoor location on the campus and in any indoor location subject to the rules governing the building housing this location. Persons not affiliated with the university may set up tables in designated locations outdoors on campus and in indoor locations subject to the rules governing the building or grounds of the location.

B. Table Reservations

Tables may be reserved using the event checklist form. This form is available in the student engagement office and on the student engagement website. Tables may also be available on

a first-come, first-served basis.

C. Restrictions

1. Tables may not disrupt university functions and/or interfere with vehicular and pedestrian traffic.
2. Use of amplified sound at tables is governed by policy 16.31, Use of Amplified Sound on Campus Grounds.
3. Tables may not be set up on the lower level of the Stephen F. Austin statue plaza.
4. Tables may only be set up inside any building with permission from the academic or administrative unit that controls the space, or from the faculty member or staff member who controls the space at a particular time. Academic or administrative units may specify additional rules by restricting tables to reasonable locations in spaces occupied by that unit.
5. Each table must have a sign or literature that identifies the sponsor of the table.
6. Any person or organization sponsoring a table shall remove litter from the area that resulted from tabling activity.
7. Students, faculty, staff and their official organizations may supply their own tables.

IV. Chalking

Chalking is permitted by students, faculty, staff, and their official organizations in approved designated areas as indicated on event checklist form.

Cross Reference: Solicitation on Campus (16.25); Use of Amplified Sound on Campus Grounds (16.31); U.S. Const. amend. I; U.S. Const. amend. XIV, § 1; Tex. Educ. Code § 51.9315.

Responsible for Implementation: President

Contact for Revision: Dean of Student Affairs

Forms: SFA Group Grounds Reservation Form; Outside Group Grounds Reservation Form

Board Committee Assignment: Building and Grounds

Final Course Grade Appeals by Students

Original Implementation: August 31, 1981

Last Revision: February 2, 2021

Faculty members are responsible for the evaluation of student course work conducted in their class and, under normal circumstances, only the instructor may change a grade. However, this policy provides a formal process for students to appeal final grades and determinations of academic dishonesty. Any further appeal must be made within ten (10) business days from the conclusion of each step. Recommendations at each level are generally made within four (4) weeks of receiving the appeal. The burden of proof rests with the student throughout the process.

A student may appeal a final course grade if it can be demonstrated that the instructor did not adhere to stated procedures or grading standards, or if other compelling reasons exist to change the grade. A student may not appeal due to general dissatisfaction with a final grade or disagreement with the instructor's professional judgment regarding the quality of the student's work.

These steps are followed when making an appeal:

1. Students must first appeal in writing to the faculty member with whom they have a final grade dispute. Students must appeal to the instructor within thirty (30) calendar days after the first-class day of the next semester, fall or spring. Given extenuating circumstances, exceptions to this deadline may be granted by the academic unit head. If the dispute is not resolved, the student may appeal to the academic unit head. The academic unit head then requests a written statement from the faculty member and the student involved in the dispute. The academic unit head provides both parties a written recommendation.
2. If the dispute remains unresolved after a recommendation by the academic unit head, the student may appeal in writing to the academic dean. The dean notifies both parties of the continuation of the appeal. The faculty member may submit an additional response. The academic unit head will forward all documentation involved in the dispute to the dean.

Prior to making a recommendation, the dean may refer the appeal to the relevant college council. If the college council has no student members, the dean asks the president of the Student Government Association to recommend no more than two students from that college to be appointed as voting members. If consulted, the college council reviews all documentation and submits its recommendation to the dean. The dean provides both parties a written recommendation.

3. If the dispute remains unresolved after a recommendation by the dean, the student may appeal in writing to the provost and vice president for academic affairs. The provost and vice president for academic affairs notifies both parties of the continuation of the appeal. The faculty member may submit an additional response. The dean will forward all documentation involved in the dispute to the provost and vice president for academic affairs. The college

council may serve as an advisory body to the provost and vice president for academic affairs. The provost and vice president for academic affairs informs the student and all persons involved in the appeal process of the recommendation.

Under extraordinary circumstances (e.g., the instructor is deceased, is no longer at the institution or is in violation of university policy), a grade may be changed by the provost and vice president for academic affairs after consultation with the dean and academic unit head. The provost and vice president for academic affairs informs the student and all persons involved in the appeal process of the final decision.

Cross Reference: Faculty Handbook, Student Handbook and Activities Calendar; Student Academic Dishonesty (4.1); Title IX (2.13); Faculty Code of Conduct (7.11); Nondiscrimination (2.11)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

Historically Underutilized Businesses

Original Implementation: August 2, 1994

Last Revision: February 2, 2021

Purpose

This policy affirms that Stephen F. Austin State University adopts the state comptroller's rules outlined in 34 Tex. Admin. Code §§ 20.281-.298 related to administering Tex. Gov't Code Ch. 2161. The university is committed to making a good faith effort to increase business with historically underutilized businesses (HUBs) by contracting directly with HUBs or indirectly through subcontracting opportunities.

General

The director of procurement and property services shall serve as the official HUB coordinator, executing all responsibilities associated with the position, and ensuring full participation in the HUB program by the Department of Procurement and Property Services. HUB utilization goals will be reviewed and adjusted annually by the procurement director and reported to the president and vice president for finance and administration. University HUB goals will be posted on the procurement website.

A detailed implementation plan will be developed and implemented annually by the director of procurement and property services/HUB coordinator and reported to the president and vice president for finance and administration. The annual plan will include specific objectives to ensure compliance with this policy, audit findings, and/or the HUB program goals.

HUB Program Goals

- The university will ensure that HUB policies and procedures are written to ensure compliance with good faith effort requirements outlined in Tex. Gov't Code § 2161.123(d) and 34 Tex. Admin. Code § 20.284. Reference the HUB procedure manual.
- The university will ensure that HUB and procurement policies and procedures are written to ensure HUBs have maximum opportunity to participate in all procurement opportunities. Reference Best Value Procurement (17.1), the procurement procedure manual, and the HUB procedure manual.
- The university will pursue various forms of outreach to identify HUB vendors with which to develop a business relationship. Non-certified businesses that may meet HUB requirements will be advised of and/or assisted with the state's certification process.
- The university will seek to contract with HUBs indirectly through subcontracting opportunities in accordance with Tex. Gov't Code §§ 2161.251-.253 and 34 Tex. Admin. Code § 20.285.

- The university will establish educational training for personnel making procurement decisions to assure compliance with stated objectives.
- The university will gather and report HUB data in compliance with state reporting requirements.
- The university will maintain a program to foster long-term relationships between leaders of mature established companies and emerging minority, women-owned and veteran-owned companies that are HUB certified or eligible to be HUB certified, in order for the latter to benefit from the knowledge and experience of the established firm.

Cross Reference: Tex. Gov't Code Ch. 2161; 34 Tex. Admin. Code §§ 20.281-.298; Best Value Procurement (17.1)

Responsible for Implementation: Vice President of Finance and Administration

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

Forms: None

Board Committee Assignment: Finance and Audit Committee

Honorary Degree

Original Implementation: October 18, 1988

Last Revision: February 2, 2021

Stephen F. Austin State University may, on occasion, grant honorary degrees to individuals who have over an extended period rendered exceptional contributions to the university or the public interest through public service, philanthropic activity, intellectual or artistic performance, or leadership roles. Honorary degrees may not be awarded to individuals officially associated with the university at the time of the award or to individuals holding elective office unless they have achieved distinction in another field of endeavor.

Nominations for honorary degrees may be submitted to the president by faculty, staff, administration, or members of the Board of Regents of the university. Nominations will be evaluated by an advisory committee appointed by the president with representation from the faculty, staff, student body and administration. The committee will make recommendations to the president who, in turn, will consult with the chair of the Board of Regents. An honorary degree will be granted at a time appropriate to the circumstances.

Cross Reference: None

Responsible for Implementation: President

Contact for Revision: President

Forms: None

Board Committee Assignment: Academic and Student Affairs

Human Research Subjects Protection

Original Implementation: April 30, 2002

Last Revision: February 2, 2021

Introduction

Stephen F. Austin State University (SFA) seeks to protect the welfare of every person who may be a subject of a research activity. In doing so, the university complies with appropriate federal, state, and local laws, including regulations by the Department of Health and Human Services (DHHS) for the Protection of Human Subjects in Research (45 CFR Part 46, as amended). Documentation of procedures is required for all protocols that are government funded. SFA follows the ethical principles regarding all research involving humans as subjects as set forth in the report of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research, entitled Ethical Principles and Guidelines for the Protection of Human Subjects of Research (the "Belmont Report"), and in the Code of Federal Regulations (CFR).

Institutional Policy

All research projects involving human subjects conducted by SFA faculty, staff, and/or students, on or off campus, must have prior approval of the Institutional Review Board (IRB). For purposes of this policy, the following definitions apply:

- **Research** is a systematic investigation designed to develop and/or contribute to generalizable knowledge. It includes research development, testing, and evaluation.
- A **human subject** is defined as a living individual about whom an investigator (whether professional or student) is conducting research.
- **Minimal risk** means that the probability and magnitude of harm or discomfort anticipated in the research are not greater than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations.

Failure to obtain written IRB clearance may result in the imposition of restrictions on the investigator's research activities at SFA. The application must be signed and submitted electronically to the IRB. Once IRB approval is obtained, the investigator(s) must abide by several conditions:

- A second review may be required if more than twelve months has elapsed between the initial IRB review and the beginning of the project or the principal investigator wishes to change procedures or research focus;
- All approved research is open to continuing review at intervals appropriate to the degree of risk;
- No investigator can abdicate ethical and legal responsibility merely by complying with this policy;
- Records of research data will be retained by the researcher for three years.

The chair of the IRB will forward copies of all IRB-approved research protocols and approval letters to the investigator(s) with copies placed in the SFA electronic repository. Multi-institutional studies only require one IRB approval. Multi-institutional studies will be considered on a case-by-case basis to determine the major responsibilities of each institution engaged in the research.

Guiding Principles to the Ethical Use of Human Research Subjects

All research activities involving humans as subjects must provide for the safety, health and welfare of every individual. Additionally, all legal rights, including the right to privacy, must not be infringed. The direct or potential benefits to the subject or the importance of the knowledge to be gained must outweigh the potential risks to the individual. No human subject can participate in a research project until the IRB has approved the research protocol and written informed consent has been obtained from the subject.

The principal investigator has the obligation of safeguarding information obtained as part of a research project. The principal investigator must be a faculty or staff member even though it may be student research, the faculty sponsor is responsible for the IRB application, training for the research protocol, research activities, supervision of human subjects, and reporting any changes to the IRB, as well as unanticipated consequences from the research.

IRB Membership and Institutional Responsibilities

The IRB at SFA has the responsibility and authority to review, approve, disapprove, or require changes in research activity and methodology of research involving human subjects.

- The IRB will have at least five members with varying backgrounds to promote complete and adequate review of research activities commonly conducted at the institution. The membership of the IRB is based on the following criteria: At least one member whose primary concerns are in scientific areas and at least one member whose primary concerns are in nonscientific areas;
- At least one member who is not otherwise affiliated with the institution and who is not part of the immediate family of a person who is affiliated with the institution.
- An ex-officio, non-voting representative from the Office of Research and Graduate Studies (ORGS);
- Invited, non-voting individuals at the discretion of the IRB who have competence in specialized areas of research.

Appointments to the IRB are made by the president of the university for indefinite terms. The IRB chair is appointed by the provost and vice president for academic affairs from among the faculty members of the IRB. Whenever possible, the chair of the IRB will be granted reassigned time equivalent to one three-hour course each semester.

ORGS is responsible for maintaining the registration status of the IRB with the DHHS Office for Human Research Protections (OHRP) and for monitoring the status of a university Federal Wide Assurance (FWA) as applicable.

Conflict of Interest

Conflict of interest is a situation in which financial or other personal considerations have the potential to compromise or bias professional judgment and objectivity. This definition applies to any IRB member or his/her immediate family member (within the second degree of affinity or third degree of consanguinity). An IRB member who has a conflict of interest, or a perceived conflict of interest, in any research application must recuse himself or herself from the vote and must disclose the conflict of interest. If a quorum is present without the recused member, a vote can proceed. Otherwise, an alternate IRB member must be present to proceed to a vote. No individual conducting and/or supervising a specific project can participate in IRB review of the proposal, except to provide information.

Informed Consent

A subjects informed consent must be obtained through methods that are consistent with federal law (45 CFR §§46.116-.117). An individual does not abdicate any rights by consenting to serve as a research subject. A human subject has the right to withdraw from a research project at any time or can refuse to participate; in either case, the subject must not experience any loss of benefits for withdrawing from a research project. Further, a human subject has the right to receive appropriate professional care, to enjoy privacy and confidentiality in the use of personal information, and to be free from undue embarrassment, discomfort, anxiety or harassment.

The legal age of consent for research purposes in the State of Texas is eighteen (18) years of age. For human subjects under 18, consent must be given by a legally authorized representative, an individual, judicial, or other body authorized under applicable law to consent on behalf of a prospective subject to the subject's participation in the research procedure(s). Additionally, the human subject under 18 must assent to the research.

If the subject is a minor, written consent by a legally authorized representative is required unless waived by the IRB. Such waivers will be granted by the IRB only if the principal investigator can provide adequate justification for the request [45 CFR §46.116(c)] and demonstrate assent of the minor, unless the IRB acknowledges the minor is incapable of giving assent.

Consent must be voluntary and must be given without coercion or undue influence. This includes provisions for payments or other incentives to participate in a research study [Payments to Human Research Subjects (8.8)]. The information provided to the subject or to the subject's legally

authorized representative must be in simple, easily understood language. If the human subject does not understand English, the informed consent must be presented in the appropriate language.

Informed consent cannot waive or limit a human subject's legal rights, including any release of the institution or its agents from liability for negligence. Requirements and guidelines for informed consent can be obtained from the ORGS website.

Exempted Research

All qualifying research with human subjects, as defined in section II, must be reviewed by the IRB. A principal investigator cannot claim exempt status in order to bypass IRB review. The IRB is responsible for determining whether a research project falls within one of the exempted categories as defined in 46 CFR 101(b)(1)-9(b)(6).

Expedited Review

Certain research projects may be eligible for expedited review. In making this determination, the research protocol will be reviewed by the IRB chair and/or experienced IRB members selected by the chair. All members of the IRB will be advised on research proposals that have been approved under expedited review at each IRB committee meeting.

Full Review

Research protocols that include any protected populations must be reviewed by the full IRB committee. Protected populations include prisoners, children (unless the study is normal educational practice), employees, terminally ill subjects, AIDS/HIV subjects, human fetuses, and neonates. The IRB committee may reject the application, accept the application with minor revisions, or request significant changes with the request for an additional full committee review.

Cross Reference: Ethical Principles and Guidelines for the Protection of Human Subjects in Research: The Belmont Report; 45 CFR §§ 46.101-.505; Payments to Human Research Subjects (8.8).

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Dean, Research and Graduate Studies

Forms: Application for Approval of Research Involving the Use of Human Subjects; Conflict of Interest Disclosure Form for IRB Members; Workload Reassignment Request

Board Committee Assignment: Academic and Student Affairs

Investments

Original Implementation: April 30, 1996

Last Revision: February 2, 2021

Purpose

This policy applies to all Stephen F. Austin State University operating funds, quasi-endowment funds, and bond proceeds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act (PFIA), and certain portions of the Texas Education Code. The policy states the goals and objectives in the investment of these assets and is intended to provide guidance in the management of the assets. Endowment funds are invested in accordance with Investments – Endowment Funds policy (3.20) approved by the Board of Regents (board) annually.

Definitions

Short-Term investments have a maturity of less than 90 days. Funds needed to meet short-term operating requirements will be primarily invested in either investment pools or overnight sweep accounts established with banking institutions. The benchmark is the average three-month Treasury bill yield.

Intermediate-Term investments have a maturity of 90 days to one year. United States Treasury and Agency securities, or United States Agency Discount Notes are the primary investment vehicles. United States Treasury securities are preferable because of their low risk and the ease with which they are traded. The benchmark is 95 percent of the average one-year Treasury bill yield.

Long-Term investments have a maturity over one year. United States Treasury and Agency securities are the primary investment vehicles. The 30 Year Treasury Bond rate is the benchmark for long term funds.

Quasi-Endowment Funds are funds for which the governing body of the university, rather than a donor has determined that the corpus is to be retained and invested. Since these funds are internally designated rather than externally restricted, the university has the right to expend principal with approval from the governing body.

General

Stephen F. Austin State University invests the public funds in its custody with primary emphasis on the preservation and safety of the principal amount of the investment. Secondly, investments must be of sufficient liquidity to meet the day-to-day cash requirements of the university. Finally, the university invests to maximize yield within the two previously indicated standards. All investments within this policy conform to all applicable state statutes and local rules governing the investment of public funds.

Investment Objectives

The foremost objective of all investment decisions shall be safety of principal. All investments must be undertaken with the fiduciary responsibility associated with that of a reasonable and prudent person. Investments must be in accord with Texas law. Investment maturity must be diversified to match the

university's liquidity requirements and to meet all reasonably anticipated operating requirements. Investments shall incur no unreasonable risk in order to maximize potential income. Investments may be diversified in order to respond to changing economic and/or market conditions. No investments within the portfolio or investment practices conducted to effect investment activities shall violate the terms of this policy.

Investment Strategy

All investments will be made in accordance with the university's investment policy. Investments may be diversified as needed to support the university's financial requirements. The preservation and safety of principal is the first priority; however, it is recognized that unrealized losses will occur in a rising interest rate environment, just as unrealized gains will occur during periods of falling interest rates. Investments will be structured to provide sufficient liquidity and marketability to meet operating requirements. The investment portfolio may be diversified with authorized securities to accommodate changing market conditions. An investment decision shall consider yield only after the requirements for principal preservation, liquidity, and marketability have been met.

All securities transactions, including collateral for repurchase agreements, but excluding mutual funds and investment pools, must be settled on a delivery versus payment basis.

An investment strategy may include investment pooling with another public institution as authorized in Texas Education Code Sec. 51.0031. Funds invested with another institution that meets guidelines established by Sec. 51.0031 will be managed in accordance with prudent person investment standards.

Investment Authority

The vice president for finance and administration, the associate vice president of financial and administrative services, and the director of administrative services shall be designated as the university's investment officers and are responsible for the duties outlined herein. The names and titles of the investment officers shall be filed with the Board of Regents. Changes of names and/or titles must be filed with the Board of Regents as they occur. The vice president for finance and administration, the associate vice president of financial and administrative services, and the director of administrative services may only invest funds regulated by this policy and purchase securities authorized by this policy.

The board may contract with an investment management firm registered under the Investment Advisers Act of 1940 or with the State Securities Board to provide for the investment and management of public funds under its control.

The board may contract with other institution(s) to invest all or part of the university's funds in accordance with Texas Education Code Sec. 51.0031.

Investment Responsibilities

The vice president for finance and administration is responsible for investment management decisions and activities. The vice president for finance and administration delegates the day-to-day management of the investment activities to the associate vice president of financial and administrative services or the director of administrative services.

The vice president for finance and administration shall be ultimately responsible for all transactions undertaken and shall establish a system of controls (Appendix A) to regulate the activities of officials and staff involved in investment transactions.

The vice president for finance and administration shall develop and maintain written administrative procedures and guidelines for the operation of the investment program which are consistent with and part of this Investment policy (Appendix B).

The vice president for finance and administration may establish an investment committee. The committee may review investment reports, monitor investment activity or review and revise qualified investment brokers that are eligible to serve in an investment capacity for the university. The chair of the Board of Regents may designate a board member to serve as a liaison on the investment committee.

Prudence

The "prudent person" standard will be used in the investment function and shall be applied in the context of individual transactions as well as management of the overall portfolio.

Accordingly, all investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion, and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital as well as the expected income to be derived.

Investment Guidelines

Authorized Investments: All university funds and funds held in trust for others may be invested in the securities listed below and/or pooled with another institution of higher education as authorized in Texas Education Code Sec. 51.0031. The university is not required to liquidate investments that were authorized investments at the time of purchase. For investments exclusive of funds authorized by Sec. 51.0031, credit rating requirements will be monitored at least monthly. If or when a rating drops below the established minimum or when an investment is no longer authorized, that investment will be liquidated as soon as prudently possible.

Authorized securities include:

- a. obligations, including letters of credit, of the United States, or its agencies and instrumentalities;
- b. direct obligations of the state of Texas or its agencies and instrumentalities;
- c. collateralized mortgage obligations directly issued by a federal agency or instrumentality of the United States, the underlying security for which is guaranteed by an agency or instrumentality of the United States;
- d. other obligations, the principal and interest of which are unconditionally guaranteed or insured by, or backed by the full faith and credit of, the state of Texas or the United States or their respective agencies and instrumentalities, including obligations that are fully guaranteed or insured by the Federal Deposit Insurance Corporation or by the explicit full faith and credit of the United States;

- e. obligations of states, agencies, counties, cities, and other political subdivisions of any state rated as to investment quality by a nationally recognized investment rating firm of not less than A or its equivalent;
- f. interest-bearing banking deposits that conform to Sections 2256.009(7) and 2256.009(8) of the Texas Government code;
- g. certificates of deposit and share certificates issued by a depository institution that conforms to Section 2256.010 of the Texas Government Code.
- h. fully collateralized repurchase agreements that conform to Section 2256.011 of the Texas Government Code;
- i. bankers' acceptances that conform to Section 2256.012 of the Texas Government Code;
- j. commercial paper that conforms to Section 2256.013 of the Texas Government Code;
- k. no-load money market mutual funds and no-load mutual funds registered and regulated by the Securities and Exchange Commission and conform to Section 2256.014 of the Government Code;
- l. guaranteed investment contracts that conform to Section 2256.015 of the Government Code;
- m. investment pools that conform to Sections 2256.016 and 2256.019 of the Government Code;
- n. cash management and fixed income funds sponsored by organizations exempt from federal income taxation under Section 501(f), Internal Revenue Code of 1986 (26 U.S.C. Section 501(f));
- o. negotiable certificates of deposit issued by a bank that has a certificate of deposit rating of at least 1 or the equivalent by a nationally recognized credit rating agency or that is associated with a holding company having a commercial paper rating of at least A-1, P-1, or the equivalent by a nationally recognized credit rating agency;
- p. corporate bonds, debentures, or similar debt obligations rated by a nationally recognized investment rating firm in one of the two highest long-term rating categories, without regard to gradations within those categories.

Unauthorized Investments: The following investments are prohibited:

- a. obligations whose payment represents the coupon payments on the outstanding principal balance of the underlying mortgage-backed security collateral and pays no principal;
- b. obligations whose payment represents the principal stream of cash flow from the underlying mortgage-backed security collateral and bears no interest;
- c. collateralized mortgage obligations that have a stated final maturity date of greater than 10 years; and
- d. collateralized mortgage obligations the interest rate of which is determined by an index that adjusts opposite to the changes in a market index.

Asset Allocation: Investments may be diversified to minimize the risk of loss resulting from unauthorized concentration of assets in a specific maturity, specific issuer, or specific class of securities. The diversification limits by security type and issuer shall be:

Category	Maximum
U. S. Treasury securities and securities having principal and interest guaranteed by the U. S. Government	100%

U. S. Government agencies, instrumentalities and government sponsored enterprises (excluding mortgage backed securities)	50%
Collateral mortgage backed securities	25%
Fully insured or collateralized certificates of deposit	100%
Bankers' acceptances	25%
Commercial paper	50%
Repurchase agreements	100%
Registered money market funds	80%
Local Government Investment Pool	100%
Corporate Bonds	50%

The vice president for finance and administration may diversify investment maturity to limit interest rate risk. Interest rate risk is the risk that changes in market interest rates will adversely affect the fair value of an investment. Generally, the longer the maturity of an investment the greater the sensitivity of its fair value to changes in market interest rates. To the extent possible, investment maturity will be matched with anticipated cash flow requirements. Matching maturity and cash flow requirements will minimize occasions for sale of securities prior to maturity, thereby reducing market risk. However, no provision of this policy shall be interpreted as prohibiting the sale of any security prior to maturity, provided that it is in the university's financial interest to sell the security.

The maximum stated maturity date of any security may not exceed ten years, and the dollar-weighted average maturity of the portfolio shall not exceed five years without approval by the vice president for finance and administration and ratification by the Board of Regents. No officer or designee may engage in an investment transaction except as provided under terms of this policy as approved by the Stephen F. Austin State University Board of Regents.

Credit risk is the risk that an issuer or counterparty to the investment will not fulfill its obligations to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. To limit credit risk, this policy limits investments in corporate bonds, debentures or similar debt obligation to the two highest long-term rating categories.

Insurance or Collateral: All depository bank accounts shall be secured by a pledge of collateral with a market value equal to no less than 100% of the deposits plus accrued interest less any amount insured by the FDIC. Pledged collateral must conform to Chapter 2257 of the Government Code, Collateral for Public Funds. Evidence of the pledged collateral associated with depository bank accounts shall be maintained by the associate vice president of financial and administrative services or the director of administrative services. Collateral shall be reviewed monthly by the controller and the associate vice president of financial and administrative services or the director of administrative services to assure the market value of the securities pledged equals or exceeds the depository bank balances. Pledged collateral shall be maintained for safekeeping by an independent third party.

Collateral Defined: The university shall accept only the following securities as collateral:

- a. FDIC insurance coverage;
- b. United States Treasury, Agency, or Instrumentality securities;
- c. Direct obligations of the state of Texas or its agencies and instrumentalities;
- d. Other obligations, the principal of and interest on which are unconditionally guaranteed or insured by the state of Texas or the United States;
- e. Obligations of states, agencies thereof, counties, cities, and other political subdivisions of any state having been rated as to investment quality by a nationally recognized investment rating firm and having received a rating of no less than A or its equivalent;
- f. Collateralized mortgage obligations (CMO) directly issued by a federal agency or instrumentality of the United States, the underlying security for which is guaranteed by an agency or instrumentality of the United States. CMO must have a stated final maturity date of less than 10 years.

Authorized Financial Dealers and Institutions

Investment transactions (bids and offers) will occur only between the university and board authorized broker/dealers or institutions authorized by Texas Education Code Sec.51.0031. The board shall adopt a list of approved qualified brokers that are authorized to engage in investment transactions with the university. This list shall be reviewed and revised at least annually.

For funds subject to Chapter 2256 of the Texas Government Code, a written copy of the investment policy shall be presented to any person offering to engage in an investment transaction with Stephen F. Austin State University. The qualified representative of the business organization offering to engage in an investment transaction with Stephen F. Austin State University shall execute a written instrument substantially to the effect that the business organization has (a) received and reviewed the investment policy of the university and (b) acknowledges that the business organization has implemented reasonable procedures and controls in an effort to preclude investment transactions conducted between the university and the organization that are not authorized by Stephen F. Austin State University's investment policy.

Securities may not be bought from any organization whose representative has not provided the university with the acknowledgment required in the above paragraph. Funds invested with institutions authorized by Texas Education Code Sec. 51.0031, will be invested pursuant to the qualifying institution's investment policy.

Competitive quotes must be taken from at least three qualifying institutions for all individual security purchases and sales (excluding transactions with money market mutual funds, local government investment pools and when issued securities are deemed to be made at prevailing market rates).

External Financial Advisor Contract Renewal or Extension

Pursuant to Chapter 2256 of the Texas Government Code, a contract with an external investment manager may not exceed two years. A renewal or extension of the contract by the board must be made by order, ordinance, or resolution.

Disclosure Requirements for Outside Financial Advisor

External financial advisors and service providers shall comply with Texas Government Code Chapter 2263, Ethics and Disclosure Requirements for Outside Financial Advisors and Service providers.

Performance Evaluation

The vice president for finance and administration and associate vice president of financial and administrative services or director of administrative services shall submit quarterly reports to the Board of Regents and the president of the university in the format prescribed by the PFIA, within a reasonable time after the end of the quarter. The reports must:

- a. describe in detail the investment position of the university on the date of the report;
- b. be prepared by the investment officer(s) of the university;
- c. be signed by the investment officer(s) of the university;
- d. contain a summary statement of each pooled fund group that states the:
 - i. beginning market value for the reporting period;
 - ii. ending market value for the period; and
 - iii. fully accrued interest for the reporting period;
- e. state the book value and market value of each separately invested asset at the end of the reporting period by the type of asset and fund type invested;
- f. state the maturity date of each separately invested asset that has a maturity date;
- g. state the account or fund or pooled group fund for which each individual investment was acquired; and
- h. state the compliance of the investment portfolio of the university as it relates to the investment strategy expressed in this policy and to relevant provisions of the Public Funds Investment Act.

Internal Controls

Stephen F. Austin State University has established a system of written internal controls designed to prevent loss of public funds due to fraud, employee error, misrepresentation by third parties, unanticipated market changes, or imprudent actions by employees of the university. These controls are shown in Appendix A of this investment policy. These controls are subject to the review of and recommendations from the university's Department of Audit Services.

Disclosure Requirements for Investment Officers

Pursuant to Texas Government Code Sec. 2256.005(i), an investment officer of an entity who has a personal business relationship with a business organization offering to engage in an investment transaction with the entity shall file a statement disclosing that personal business interest. An investment officer who is related within the second degree by affinity or consanguinity, as determined under Chapter 573, to an individual seeking to sell an investment to the investment officer's entity shall file a statement disclosing that relationship. A statement required under this subsection must be filed with the Texas Ethics Commission and the governing body of the entity. For purposes of this subsection, an investment officer has a personal business relationship with a business organization if:

- the investment officer owns 10 percent or more of the voting stock or shares of the business organization or owns \$5,000 or more of the fair market value of the business organization;

- funds received by the investment officer from the business organization exceed 10 percent of the investment officer's gross income for the previous year; or
- the investment officer has acquired from the business organization during the previous year investments with a book value of \$2,500 or more for the personal account of the investment officer.

Training

Each member of the board and investment officer shall attend at least one training session within six months after taking office or assuming duties relating to investment responsibilities as required by Section 2256.007 of the Texas Government Code. The primary investment officers shall attend not less than once each state fiscal biennium an investment training session relating to investment responsibilities from an independent source. Training for the investment officer(s) will be conducted by an organization or firm that is approved by the board. The approved independent sources include:

- Texas Higher Education Coordinating Board
- Center for Public Management at the University of North Texas
- Government Treasurer's Organization of Texas
- PFM Asset Management LLC

The university may provide other training in investments in order to insure the quality and capability of the university's investment personnel to make investment decisions in compliance with the PFIA.

Audits

In order to comply with the audit requirements of the Texas Public Funds Investment Act, the university's Department of Audit Services shall conduct audits and reviews of the university's investment function and report the findings to the appropriate oversight authorities.

Investment Policy Adoption and Certification

The board shall review this investment policy and investment strategies not less than annually. The board shall adopt a written instrument by rule, order, ordinance, or resolution stating that it has reviewed the investment policy and investment strategies and that the written instrument so adopted shall record any changes made to either the investment policy or investment strategies.

Cross Reference: Tex. Gov't Code Ch. 573, 2256-2257, 2263; 26 U.S.C. § 501(f); Tex. Educ. Code § 51.0031-.0032, Investments-Endowment Funds (3.20)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Finance and Audit

APPENDIX A INTERNAL CONTROLS

The university has prepared an investment policy as of April 12, 1996. The policy was approved by the Board of Regents April 30, 1996. The investment policy will be reviewed and/or updated no less than annually. All pledged securities shall conform to Chapter 2257 of the Government Code. The signature of the president, vice president for finance and administration, associate vice president of financial and administrative services, or director of administrative services is required for release of pledged securities from safekeeping. Increases in the level of collateralization require approval by the president, vice president for finance and administration, associate vice president of financial and administrative services, director of administrative services, controller or assistant controller. The controller's office will reconcile the appropriate investment accounts to broker's statements and other supporting documents monthly.

APPENDIX B ADMINISTRATIVE PROCEDURES

The bursar's office will maintain a daily list of cash balances held in depository bank accounts. All investment transactions and related cash transfer requests, except for investment "rollovers" as defined, will require two signatures. "Rollovers" are investment transactions whereby an investment of certain type held by an entity matures and the proceeds are then used to purchase an investment of the same type within the same account within the same entity. The controller's office will record investments in compliance with Governmental Accounting Standards Board (GASB) and state comptroller's reporting requirements and reconcile the appropriate investment accounts to broker's statements and other supporting documents monthly. Quarterly investment reports are prepared by the associate vice president of financial and administrative services or the director of administrative services and approved by the vice president of finance and administration in accordance with the Performance Evaluation section of this investment policy. The market price of securities will be monitored quarterly using industry published data or appropriate financial publications.

Investments–Endowment Funds

Original Implementation: Unpublished

Last Revision: February 2, 2021

Purpose

This policy applies to all Stephen F. Austin State University endowment funds. The policy states the boards' attitudes, goals and objectives in the investment of the endowment assets and is intended to provide guidance to the finance and audit committee, the university administration, and any investment consultant(s)/manager(s) in the management of the endowment assets. University funds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act are invested in accordance with Investments policy (3.21).

Definitions

True (or Permanent) Endowment Funds are funds which a donor or other outside agencies have stipulated, as a condition of the gift instrument, that the principal is to be maintained in perpetuity and invested for the purposes of producing present and future income.

Quasi-Endowment Funds are funds for which the governing body of the university, rather than a donor has determined that the corpus is to be retained and invested. Since these funds are internally designated rather than externally restricted, the university has the right to expend principal with approval from the governing body.

Gift Instrument refers to the records that establish the terms of the gift and may consist of more than one document. The release or modification of restrictions on management, investment, or purpose contained within the gift instrument is governed by Texas Property Code Section 163.007.

Investment Consultant represents an external firm or individual who can provide advice and/or guidance regarding investment decisions to the university, and/or hire investment managers.

General

Endowment funds represent private funds given to the university by individuals or institutions to promote, encourage and advance education and to improve the degree and non-degree educational functions by establishing scholarships, fellowships, professorships, academic chairs and other academic endeavors at the university, as specified by donors.

University endowment funds are not considered to be public funds but instead are governed by Section 51.0031 of the Texas Education Code. This section of the Texas Education Code states that the university "... with regard to donations, gifts and trusts, may establish endowment funds that operate as trusts and are managed under prudent person standards".

Investment Objectives

The overall investment objective is to assure that the university's endowment funds are invested in a manner to achieve as high a level of return as can reasonably be expected to be achieved given the primary objective of safety and preservation of principal. In the management of the university endowment investments, consideration will be given to the need to balance a requirement for current income for present activities with a requirement for growth in principal to compensate for inflation.

Investment Risk Tolerance

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

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

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

Prudence

The 'prudent person standard' is defined by Texas Education Code 51.0031(d) and described in Article VII, Section 11b, of the Texas Constitution, and means that standard of judgment and care that prudent investors, exercising reasonable care, skill, and caution, would acquire or retain in light of the purposes, terms, distribution requirements, and other circumstances of the fund then prevailing, taking into consideration the investment of all the assets of the fund rather than a single investment.

Responsibility and Delegation of Authority

As provided in the Texas Education Code, each member of the Board of Regents (board) has the legal responsibilities of a fiduciary in the management of funds under the control of the university. The board recognizes its responsibility to ensure that the assets of the endowment funds are managed for the exclusive benefit of the university in accordance with its donors' intentions, effectively and prudently, in full compliance with all applicable laws.

The university acknowledges that the ultimate responsibility for the investment of endowment funds rests with the board. The board will determine the institutional approach used to invest endowment funds. The board may choose to hire external investment consultants and/or managers, contract with another institution, or manage funds internally. To carry out this responsibility, the board delegates certain authority to the financial officer(s) to oversee and work with external investment consultants

and/or managers the board has selected.

The Board

The specific responsibilities of the board in the investment process include:

- Develop a sound and consistent investment policy that establishes guidelines and reasonable objectives for the management of endowments;
- At least annually, review the policy for continued accuracy and completeness;
- Select suitable investment consultants, managers or qualifying institutions to provide for the management of endowment funds;
- Evaluate performance results; and
- Comply with all applicable laws, including conflict of interest provisions therein.

University Administration

The vice president for finance and administration (vice president), the associate vice president of financial and administrative services, and the director of administrative services are designated as the investment officers for the university. The specific responsibilities of the vice president in the investment process include:

- Communicate with outside investment management team (consultants, managers and qualifying institutions);
- If appropriate, prudently select and recommend investment options to the board;
- Review and evaluate performance results to ensure policy guidelines are being adhered to and objectives are being met;
- Submit quarterly and annual investment reports to the board;
- Annually, determine the proper distribution of investment returns to the various spending accounts in accordance with the distribution section of this policy; and
- Comply with all applicable laws, including conflict of interest provisions.

The vice president may also establish an investment committee (committee). The committee may review and evaluate investment performance and review and revise qualified investment managers that are eligible to serve in an investment capacity for the university. The chair of the board may designate a board member to serve as a liaison on the committee.

Qualifying Institution

The board may contract to invest its funds with another Texas public institution. Endowment funds invested with a qualifying institution will be invested in accordance with the institution's Investment Policy and the asset allocation of the institution's policy will supersede the Investment Guidelines Section of this policy. The university's investment officer(s) will provide investment performance reports to the board.

Investment Consultant

The board may contract with an investment consultant to manage the university's endowment funds. The consultant may employ or delegate investment management to discretionary investment managers or affiliates. The consultant is responsible for ensuring that investment managers are in compliance with this policy.

Specifically, the consultant will:

- Assist the officers in the development of investment policy, objectives, asset allocation strategy and portfolio structure;
- Review investment managers, including search, selection and recommendation to the investment officers and committee;
- Monitor and report on investment manager performance;
- Monitor asset allocation and rebalance to target allocation on a periodic basis; and
- Provide written performance measurement reports as required to the investment officers, investment committee and board. The reports will contain sufficient information to determine if any changes or other actions are called for with respect to the investment portfolio.

Investment Managers

The board may choose to use an investment consultant to select investment managers. The investment consultant may exercise discretion to hire investment managers. If an investment manager is hired through the investment consultant, the consultant is responsible for ensuring that investment managers comply with all applicable policy guidelines.

The board may choose to directly contract with external investment managers. Each investment manager selected or approved by the board is expected to manage the endowment's assets in a manner consistent with the investment objectives, guidelines and constraints of this policy and in accordance with applicable laws. This obligation includes discharging responsibilities with respect to the endowment consistent with "prudent investor" standards, and all other applicable fiduciary regulations and requirements.

If the university directly contracts with the investment manager, then the manager(s) will receive a copy of this policy and the manager must execute a written statement to the effect that the registered principal of the organization has received and thoroughly reviewed the investment policy of the university. The statement must also acknowledge that the organization has implemented reasonable procedures and controls in an effort to preclude imprudent investment activities.

The investment manager(s) will:

- Be registered as an investment adviser under the Investment Advisers Act of 1940 (where applicable);
- Maintain adequate fiduciary liability insurance and bonding for the management of this account;
- Acknowledge in writing that it is a fiduciary with respect to the assets under its control;
- Be responsible for making decisions on a discretionary basis. This includes buy, hold, sell and timing decisions. The external manager(s) must make responsible decisions in the selections of specific securities and the general timing of purchases and sales necessary to invest only into the security class(es) for which they were retained to manage.

Custodian

The custodian is responsible for the safekeeping for the endowment's investment assets. The specific duties and responsibilities of the custodian include:

- Maintain separate accounts by legal registration;
- Value the holdings;
- Collect all income and dividends owed to the endowment in its custody;
- Settle all transactions initiated by the investment manager; and

- Provide monthly reports that detail transactions, cash flows, securities held and their current value, and change in value of each security and the overall portfolio since the previous report.

Investment Policy Guidelines

For the purpose of this policy, all individual securities which use long-term credit ratings must be rated the equivalent of “B” or better by a nationally recognized credit rating service and the fixed income portfolio must have an overall credit rating of “A”. Securities using short-term credit ratings must be rated at least A-2, P-2, F-2 or the equivalent by a nationally recognized credit rating service.

Authorized Investments:

The endowment’s assets may be invested in the following:

- a. Direct obligations of the United States government or its direct agencies.
- b. Direct obligations of federally-sponsored agencies in accordance with the above paragraph.
- c. Obligations of states, agencies, counties, cities, and other political subdivisions of any state in accordance with the above paragraph.
- d. United States dollar denominated bonds, debentures, or commercial paper and convertible securities issued by corporations in accordance with the above paragraph.
- e. Debentures or obligations, and preferred or common stock of international governments and corporations. International preferred and common stock issues must be listed on an organized stock exchange.
- f. Common stock and preferred stock issued by United States domiciled corporations and common stocks of international companies listed on the major U.S. or international security exchanges.
- g. Certificates of Deposit issued by federally insured state banks, federally insured savings and loan associations and saving banks or federally insured credit unions. Amounts over the insurance limit of the institutions must be secured by pledged securities.
- h. Bankers’ acceptances accepted by a bank organized and existing under laws of the United States or any state in accordance with the above paragraph.
- i. Money Market Mutual Funds. Funds must be registered with the Securities and Exchange Commission, have a maximum dollar weighted average maturity of no longer than 13 months, and be no-load funds. Funds must have assets consisting of securities described in the paragraphs above and seek to maintain a stable net asset value of \$1.00 per share (or unit).
- j. Mutual Funds. Funds must be registered with the Securities and Exchange Commission and invest in assets authorized under this policy.
- k. Direct Security Repurchase Agreements. Direct Repos must be fully secured (collateralized) by securities authorized under the sections (a) through (g) above. Such collateral must be held by a third party. All agreements will comply with Federal Reserve Bank guidelines.
- l. Shares of investment companies as defined by the Investment Company Act of 1940. These companies include both closed-end investment companies and open-end investment companies (mutual funds). Shares in these companies may be purchased if they own securities described in sections (a) through (j) above.
- m. Shares of Exchange Traded Funds, known as ETFs.
- n. No more than ten percent (10%) of the equity portfolio can be invested at any time in one company based on the market value of the stock and portfolio.

- o. No more than thirty percent (30%) of the equity portfolio can be invested in any one industry sector based on the market value of the portfolio.
- p. Alternative investments. Permitted alternative investments may include hedge funds, managed futures funds, private equity funds, or real estate. Hedge funds are not subject to limitations of the “Prohibited Investment” section below. Investments in other strategies shall be reviewed and recommended by the investment officer prior to purchase.
- q. Permitted alternative investments in the portfolio are limited to diversified commingled trust fund vehicles or limited partnerships offered through a third party distribution channel, such as what is offered through many broker-dealer firms.
- r. Permitted alternative investments in the portfolio are limited to investment vehicles that offer the ability for the portfolio to make contributions or receive distributions at least quarterly (but preferably monthly) without restriction or incurring additional fees.
- s. The portfolio shall emphasize investments in fund-of-fund vehicles that are diversified by investment style and typically utilize multiple investment managers within a fund.

Unauthorized Investments

The endowment’s assets should not be invested in the following unless agreed to by the vice president pursuant to an approved strategy and specifically approved in writing by the vice president:

- a. Commodity trading including all futures contracts;
- b. Short selling, option trading and margin trading unless by managers approved for that strategy;
- c. Guaranteed investment contracts.

Asset Allocation

The allowable range and target asset allocation for the endowment funds is:

Asset Category	Minimum	Maximum	Target
Total Fixed Income	0.0%	60.0%	35.0%
Total Equity	0.0%	70.0%	55.0%
Total Alternatives	0.0%	25.0%	10.0%
Total Cash or Cash Equivalents	0.0%	100.0%	0.0%

The allowable asset mix for fixed income and equities is:

Fixed Income	Minimum	Maximum
US Government Bonds	0.0%	100.0%
Corporate Bonds	0.0%	50.0%
Equity	Minimum	Maximum
Domestic Equity	0.0%	100.0%
International Equity	0.0%	30.0%

Interest Rate, Credit and Foreign Currency Risks

The university will insure the safety of its invested funds by limiting interest rate, credit and foreign currency risks. Interest rate risk is the risk that changes in market interest rates will adversely affect the fair value of an investment. Generally, the longer the maturity of an investment the greater the sensitivity of its fair value to changes in market interest rates. The vice president may diversify investment maturity to limit interest rate risk. The average weighted duration of the portfolio should not vary from industry benchmarks by more than +/- 20%.

Credit risk is the risk that an issuer or counterparty to the investment will not fulfill its obligations to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. To limit credit risk, this policy requires all securities which use long-term credit ratings to be rated the equivalent of “B” or better with the overall credit rating for the fixed income portfolio to be rated “A” or better. All short-term credit ratings must be rated at least A-2, P-2, F-2.

Foreign currency risk is the risk that changes in exchange rates will adversely affect the fair value of investment. In order to mitigate this risk, international equity investments are limited to a maximum of 30% of the equity portfolio.

Gifts of Individual Securities

Gifts of individual securities will be liquidated and invested in accordance with policy guidelines and investment procedures. Exceptions to this policy are securities described as authorized investments in sections (a), (b), and (c) of the investment policy guidelines above. Such securities may be held so long as the asset allocation ranges are maintained.

Quasi-Endowments

The board may establish a quasi-endowment using unrestricted gifts. Income from funds held in quasi-endowments is available for the purpose established by the board. The corpus of such funds will be held until such time as the board abolishes the quasi-endowment, at which time the corpus is available for such purpose(s) as may be designated by the board. Quasi-endowment funds that are not considered to be public funds are governed by this policy.

Distribution Policy

The spending policy should balance the long-term objective of maintaining the purchasing power of the endowment funds with the goal of providing a reasonable, predictable, stable, and sustainable level of income to support current needs. At the end of the investment year, in consultation with the investment manager, the vice president will review the total return on the endowment accounts and recommend an annual distribution.

Performance Evaluation

The vice president will submit quarterly reports to the board on the performance of the investment

portfolio. The reports will disclose the book value and market value of the portfolio at the beginning and ending of the reporting period. The reports will disclose the realized and unrealized gains/losses and total return on the portfolio for the reporting period.

Conflicts Of Interest

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

- A member of the board shall not direct nor participate in the decision to purchase or sell securities of a firm with which such member is affiliated; and
- Investments will not be purchased from or sold to a member of the board.

Audits

The Department of Audit Services of the university shall include endowment assets as a component of its annual audit risk assessment. If the department determines that the endowment assets meet its risk assessment criteria, audit services may perform an annual audit of the endowment assets to insure compliance with the endowment investment policy.

Investment Policy Adoption and Certification

Upon adoption by the Stephen F. Austin State University Board of Regents, the university's investment policy for endowment funds shall be reviewed annually to ensure current applicability and significant modifications thereto submitted to the Board of Regents for approval.

Cross Reference: Tex. Educ. Code § 51.0031; 15 U.S.C. §§ 80a-1 – 80a-64; Tex. Prop. Code Ch. 163, Investments (3.21)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Finance and Audit

Off-Campus Credit Courses

Original Implementation: September 8, 1978

Last Revision: February 2, 2021

Off-campus courses must comply with the policies and procedures of the Texas Higher Education Coordinating Board (THECB) and accreditation requirements. The responsibility for submitting a proposal for teaching an off-campus credit course rests with the dean of the college offering the course, with approval of the provost and vice president for academic affairs.

All off-campus credit programs will be coordinated with the Office of the Provost, which is responsible for THECB and Higher Education Regional Council notification and reporting procedures. Deans and academic unit heads are responsible for scheduling, reserving space, managing course-related budgets and all instructional aspects of the courses.

Additional compensation may be appropriate if off-campus instruction makes demands on faculty beyond those required for on-campus instruction. The dean and the provost and vice president for academic affairs must approve additional compensation.

Cross Reference: Tex. Educ. Code § 61.052; Salary Supplements, Stipends and Additional Compensation (12.16)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

Petitions and Handbills

Original Implementation: July 1980

Last Revision: July 23, 2019

These rules shall govern the circulation and distribution of all petitions (a document embodying a formal written request made to an official person or organization) and handbills (a printed sheet that is distributed by hand), on university property.

1. ~~Students, employees, and their approved organizations may circulate and distribute petitions and handbills on university property, except in academic buildings unless otherwise authorized by law.~~
2. ~~Visitors, defined as any persons who are not presently enrolled as a student nor are presently employed by the university, may circulate and distribute petitions and handbills as part of an assembly or demonstration. (See policy 16.4, Assembly and Demonstrations.)~~
3. ~~Students, employees, and their approved organizations shall require no previous approval to circulate or distribute petitions and handbills on university property so long as the individual or group(s) sponsoring the petitions or handbills is clearly identified in writing on the material itself.~~
4. ~~All persons or organizations seeking to distribute a petition or handbill without identifying information must complete a registration form with the Office of Student Engagement and deposit a true and correct copy of the petition or handbill to be circulated or distributed.~~
5. ~~Areas and times of circulation and/or distribution are as follows:~~
 - a. ~~Students, employees, and their approved organizations may circulate and distribute properly registered (if required by this policy) petitions and handbills on university property at any time and in any location, except in academic buildings unless otherwise authorized by law.~~
 - b. ~~Visitors with an approved grounds form may circulate and distribute handbills in common outdoor areas between the hours of 8 a.m. and 7 p.m., Monday through Saturday. The submission and approval of the grounds form is detailed in university policy 16.4, Assemblies and Demonstrations.~~
 - c. ~~Handbills may not be placed on parked vehicles or any other stationary object, (i.e., table, bench, etc.) as a means of distribution.~~
6. ~~Circulation and distribution by all parties must be conducted in compliance with these rules and university policy and 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 and substantially disrupt the normal activities of the university.~~
7. ~~The person or organization circulating or distribution these materials shall clean and remove any litter which results from this activity.~~
8. ~~No person or organization may circulate or distribute a petition or handbill that:~~

- a. ~~violates the university's policy on solicitation;~~
- b. ~~contains material that is obscene or libelous; or~~
- c. ~~advocates the deliberate violation of law.~~

~~For the purposes of this section "advocacy" means preparing the group addressed for imminent action and directing it to such action with the likelihood of producing that action, as opposed to the abstract espousal of the moral propriety of a course of action.~~

~~All decisions regarding prohibition of a petition or handbill based on content would follow the procedures regarding removal of signs outlined in the signs and exhibit policy, 16.24.~~

- 9. ~~In addition to these rules, petitions and handbills to be circulated and distributed by students, faculty, and staff, and their approved organizations, in:~~
 - a. ~~residence halls must comply with the rules governing residence halls; and~~
 - b. ~~the Baker Pattillo Student Center must comply with the rules governing this building.~~
- 10. ~~These rules do not apply to:~~
 - a. ~~the university, and its agents, servants, or employees, acting in the course and scope of their agency or employment; and~~
 - b. ~~the Stephen F. Austin State University Alumni Association and the Stephen F. Austin State University Foundation.~~

Cross Reference: ~~U.S. Const. amend. I; Signs and Exhibits (16.24); Assembly and Demonstrations (16.4)~~

Responsible for Implementation: ~~Vice President for University Affairs~~

Contact for Revision: ~~Dean of Student Affairs~~

Forms: ~~Registration Form, Student Affairs/Student Engagement~~

Board Committee Assignment: ~~Building and Grounds~~

Procurement Card (P-Card)

Original Implementation: July 26, 1999

Last Revision: February 2, 2021

Purpose

This policy establishes guidelines for university purchases using a procurement card (P-Card) and related requirements and activities.

Definition

A **Procurement Card** provides a payment method for official university business purposes only and may not be used for any personal transactions.

General

A P-Card will be issued in the name of the employee with the State of Texas seal and the wording 'For Official Use Only' clearly identified in the seal. Approved university employees may use the university P-Card in accordance with the P-Card Program Guide to order supplies and small items in amounts not exceeding per transaction and monthly limits. The director of procurement and property services/HUB coordinator and procurement department purchasers may purchase on behalf of the university any item of any amount using a P-Card if they have determined payment by P-Card represents the best value to the university and all procurement policies and rules have been followed. The university will comply with the state of Texas Commercial Card program contract as awarded by the Texas Comptroller of Public Accounts.

Responsibilities

The cardholder is responsible and accountable for the security and documentation associated with the use of the university P-Card and for complying with all policies and procedures related to the P-Card program.

The department head or his/her designee is responsible for: 1) designating departmental cardholders; 2) determining spending limits; 3) ensuring monthly reconciliations of P-Card cardholder statements are approved; and 4) ensuring transactions and supporting documentation are within university policies and procedures, and departmental budgets.

P-Card Use by another Employee or Student

The only person authorized to use the P-Card is the cardholder whose name appears on the card. The cardholder may not allow another university employee or a student to use their card unless the cardholder and department head have followed the steps outlined in the P-Card Program Guide.

Training and Issuing Cards

All department heads and cardholders will be required to attend training as outlined in the P-Card Program Guide before any cards will be issued to employees within the department.

Making a Purchase with the P-Card

Refer to the P-Card Program Guide for detailed information related to making a purchase with the P-Card. The director of procurement and property services/HUB coordinator and procurement

department purchasers are not subject to the P-Card Program Guide, but rather to university policies and procedures relating to purchases.

P-Card Documentation

The documentation identified in the P-Card Program Guide must be retained for the retention time period as prescribed in the State of Texas Records Retention Schedule. The records for P-Card purchases will be required for periodic audits.

P-Card Termination

P-Card rule violations may result in immediate deactivation or cancellation of the cardholder's P-Card(s). The P-Card Program Guide identifies violations and related consequences that may result in immediate deactivation or immediate card cancellation with no option to ever receive another card.

Other administrative activities may result in a card cancellation such as termination of employment, transferring to another department within the university, non-use of the card, or failure to report a stolen or missing card. The P-Card Program Guide defines the procedures to follow in all of these instances.

Administrative Authority

The department head or supervising dean, vice president, or president has the authority to request that the P-Card coordinator deactivate or cancel an employee's card at any time for any reason. Any card so deactivated or cancelled may be reactivated or a new card issued only with the proper approval. Audit services and the general counsel's office have the authority to direct that the P-Card coordinator deactivate an employee's card while transactions are being researched, investigated, or an audit is being conducted. At the conclusion of the research, investigation or audit, the card may be reactivated and/or appropriate action taken as specified herein and in the P-Card Program Guide.

Cross Reference: P-Card Program Guide

Responsible for Implementation: Vice President for Finance and Administration

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

Board Committee Assignment: Finance and Audit

Procurement of Electronic and Information Resources

Original Implementation: July 21, 2009

Last Revision: February 2, 2021

Purpose

This policy establishes guidelines for university purchases and contracts in its compliance with accessibility rules in accordance with Texas Administrative Code (TAC), Title 1, Chapters 206 and Chapter 213. This policy sets forth guidance with regard to the accessibility of all electronic and information resources (EIR) developed, procured, or changed by users including but not limited to:

- Software applications and operating systems
- Telecommunications products
- Video and multimedia products
- Self-contained closed products
- Desktop and portable computers

The specific technical standards for each of the above categories of EIR are referenced in Accessibility of Electronic Information Resources (16.9)

Definitions

Electronic and information resources (EIR) as used in this policy refers to the definition in 1 TAC 213.1(9) and includes software applications and operating systems, telecommunications products, video and multimedia products, self-contained closed products, and desktop and portable computers described in 1 TAC 213.30 through 213.33. The term does not include equipment that contains embedded information technology that is used as an integral part of the product, but the principal function of which is not the acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information, such as thermostats or temperature control devices, and medical equipment where information technology is integral to its operation.

Legacy EIR - Any component or portion of existing EIR that complies with an earlier standard issued pursuant to Chapter 206 or Chapter 213, and the user interface has not been altered on or after April 18, 2020.

General

All EIR products developed, procured, or materially changed through a procured services contract, and all EIR services provided through hosted or managed services contracts, shall comply with the provisions of Chapter 206, State Websites, and Chapter 213, Electronic and Information Resources, of the TAC, as applicable unless such requirement imposes significant difficulty or expense, as determined and exempted by the university in accordance with Texas Government Code 2054.460

and 1 TAC 213.37.

The procurement of any EIR shall include the requirement to secure documentation as required by 1 TAC 213.38(b) from the vendor providing accessibility information and/or credible evidence of the vendor's capability or ability to produce accessible EIR products or services, where applicable, under consideration using one of the following methods:

- Voluntary Product Accessibility Template (VPAT);
- Other electronic documents/forms that addresses the same accessibility criteria in substantively the same format as the VPAT. Such evidence may include, but not limited to, a vendor's internal accessibility policy documents, accessibility testing documents.
- URL to a web page which explains how to request a completed VPAT for any products under contract; or
- If credible accessibility documentation cannot be provided, then EIR shall be considered noncompliant.

Additionally, for purchases with development costs exceeding \$500,000, accessibility testing may be required.

The degree of the accessibility of a given product should be determined by the procuring department. The Electronic Accessibility Coordinator (EAC) is available to assist departments and areas in making this determination.

Departments shall coordinate purchases of EIR with Procurement and the EAC to ensure compliance with the TAC and this policy.

If a vendor cannot provide the required documentation and no other vendor is available to provide the EIR, and the department has a need that cannot be met with a different EIR, or alternative EIR can only be acquired with significant difficulty or expense, upon the review and approval by the EAC an Electronic Accessibility Exception Request Form can be requested and approved by the President. Reference Accessibility of Electronic Information Resources (16.9). Any approved exception will contain the information required in 1 TAC § 213.37(3) and processed by the EAC.

Cross Reference: Tex. Gov't Code §§ 2054.451-465; 1 Tex. Admin. Code Ch. 206; 1 Tex. Admin. Code Ch. 213; Accessibility of Electronic Information Resources (16.9)

Responsible for Implementation: Chief Information Officer

Contact for Revision: Electronic Accessibility Coordinator, Director of Procurement and Property Services/HUB Coordinator

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

Board Committee Assignment: Finance and Audit

Retirement Programs

Original Implementation: September 1, 1983

Last Revision: February 2, 2021

Purpose

This policy establishes participation requirements for retirement programs and the options available to those employees who meet the participation requirements.

General

Employees of the university working 20 hours per week (50 percent time) or more for a period of at least four and one-half months must participate in a retirement program. This excludes students employed in positions requiring student status as a condition of employment. Eligible employees can choose to participate in either the Teacher Retirement System of Texas (TRS) or Optional Retirement Program (ORP). The Human Resources Department manages the enrollment process for eligible employees.

Contribution amounts for the employee, and the employer matching monies, are determined by the Texas State Legislature. These amounts are subject to change with any legislative session. Employees participating in ORP prior to September 1, 1995 may receive additional matching monies at the discretion of the University's Board of Regents.

Teacher Retirement System of Texas (TRS)

Employees who participate in the Teacher Retirement System of Texas are required to contribute a percentage of their gross salary to TRS. Contributions are obtained through monthly payroll deductions. An employee's contributions are tax-deferred.

Optional Retirement Program (ORP)

An Optional Retirement Program is available to the following employees of the university who must be employed at 100% FTE for a full semester or four and one-half months: faculty members; faculty administrators; librarians; executive administrators, other key administrators, athletic coaches, and professionals as defined in 19 Tex. Admin. Code § 25.4. Eligibility to participate is subject to rules adopted by the Texas Higher Education Coordinating Board. Positions listed as non-exempt are ineligible to participate.

ORP eligible new employees must elect to participate in ORP within 90 days after employment at the university. After 90 days of employment, the employee will become ineligible for ORP and will only qualify for TRS.

Cross Reference: Tex. Gov't Code Ch. 821-830; 19 Tex. Admin. Code Ch. 25

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Form TRS 28 and the ORP-1 (both forms are available in human resources)

Board Committee Assignment: Finance and Audit

Risk Management

Original Implementation: August 2, 1994

Last Revision: February 2, 2021

Purpose

This policy affirms that the administration of Stephen F. Austin State University recognizes the significance of providing a safe working and teaching environment for both employees and students through its efforts to mitigate risk to physical and financial resources of the institution.

General

Fulfilling educational philosophies and protecting facility assets are important priorities. Institutional planning, with an emphasis placed on practical approaches to problem solving and risk control, are standards commonly adhered to in a university environment. The ultimate benefit is a reduction in the total cost of risk. Additionally, the university is a safer place for employees, students and the public to work, study and congregate.

It is the responsibility of the university administration to communicate this policy to university personnel. In so doing, university personnel are educated on the concepts of safety and risk management. By demonstrating the ability to analyze exposure to loss and by implementing measures to control these losses, the image of the university is improved in the marketplace and in the community.

Risk Management Plan

The function of risk management is to minimize the adverse effects of events, be it physical or financial, through the implementation of three basic tools:

Avoidance. Risk is avoided by refusing to assume it. This is not always wise or possible as it may mean an end to an operation in a specific area.

Loss Prevention and Reduction. When a risk cannot be avoided, it can often be reduced and the severity of losses lessened through the proper training of staff, maintenance of equipment, updating of policies and procedures, and the proper implementation of adequate emergency procedures.

Transfer. If a risk cannot be avoided, it can be transferred to others. In negotiating contracts, the risk manager may recommend an insurance clause be included requiring evidence of the other party's insurance coverage. This type of document is a "certificate of insurance" and where appropriate, the institution may need to be named as an additional insured under the contractor's policy.

Personnel

Faculty, staff or student assistant injuries that occur during the scope of employment may be covered by worker's compensation. The employee must inform his/her supervisor and contact the university

claims coordinator (safety officer) as soon as possible. Refer to university policy Workers Compensation Coverage (12.23).

Property

Whenever a property loss occurs from fire, theft, explosion, flood, earthquake, vandalism or any other such cause, a loss report is submitted to the University Police Department (UPD) and the Environmental Health, Safety, and Risk Management Department (EHSRM) by the department supervisor. EHSRM will file the necessary paperwork for insurance claims.

Students and Visitors

Whenever there is an accident or injury on university premises, a loss or injury to a student, visitor or company, or any other unplanned event, the UPD and EHSRM is notified. UPD will submit incident or accident reports to EHSRM. The appropriate vice president is notified of all incidents that involve a contractor, vendor, student, or visitor. Once all of the facts have been documented, the general counsel is notified. Employees are advised to discuss the case with no one until consulting with the general counsel. No statements are made admitting liability or authorizing medical treatment unless cleared through the general counsel. If any machine, product, or object is involved in the accident, it is preserved, as is, in a safe place until it can be examined.

Safety Communication Network

EHSRM is charged with the general oversight of the university safety program. Communication channels that connect each area of the university with EHSRM are necessary for an effective safety program. Each division of the university should designate a safety representative who will act as the liaison(s) between the division and the EHSRM. The purpose of the safety communication network is not to relieve the division members of the general responsibility but to recognize hazards in their areas of activity and take positive action to reduce or eliminate those hazards, nor is it to relieve the faculty and staff members of their responsibility to educate their students and employees about proper job procedures and recognized hazards before making task assignments. The safety communication network procedures are maintained on the EHSRM website.

Safety Management

There are varying risks associated with activities and occupations at a university. EHSRM serves the university community by identifying the areas of greatest risk and by making recommendations regarding elimination, substitution or reduction of those risks. Recommendations are based on the numerous federal, state, and local regulations, codes, and standards that have been developed to assure public health and safety. Employees are encouraged to play an active role in the university safety program by identifying and reporting hazardous conditions. Refer to the university Health and Safety Manual.

Structured safety training such as new employee, defensive driving, specialized, high interest areas, or specific subject matter, and information concerning the Hazardous Communication Act will be offered to employees when appropriate or required by law.

EHSRM will update or modify the Health and Safety Manual as needed. EHSRM will be charged with the responsibility of reviewing problem areas such as recurring injuries, accidents or safety violations.

Travel and Vehicle Use

The university provides several choices for vehicle transportation necessary for operations that include travel for university business. For procedures, requirements, policies, worker's compensation and general insurance information, reference the Rental and Use of Vehicles in an Official Capacity procedures located on the EHSRM website.

Insurance

The purchase and renewal of insurance are the responsibility of the vice president for finance and administration. The vice president of finance and administration and the campus risk manager will evaluate campus risks of loss and insurance needs. Insurance shall be purchased if:

1. Required by law,
2. The cost of insurance is judged to be preferable to leaving the risk uninsured, or
3. Required by contractual agreement.

Insurance will not be purchased if state or federal law prohibits the purchase of insurance. Insurance coverage is limited to what is allowed by state law. The State Office of Risk Management must approve all insurance prior to purchasing. The appropriate approval forms must be initiated through ESRM.

Insurance Claims

Any incident that may be covered by insurance must be reported to EHSRM so that the incident may be evaluated and reported to the appropriate insurance carrier; and The Office of the General Counsel will be notified of all claims and consulted for guidance. Employees are indemnified within the course and scope of employment, in accordance with applicable laws and University policy.

Cross Reference: Workers Compensation Coverage (12.23); Rental of University Vehicles (16.23); Health and Safety (13.10); Tex. Civ. Prac. & Rem. Code Ch. 104

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: None

Board Committee Assignment: Finance and Audit

Security-Sensitive Positions

Original Implementation: May 1, 1989

Last Revision: February 2, 2021

Purpose

This policy defines and establishes requirements when hiring for all security-sensitive positions.

Definition

Security-sensitive positions are those in which employees handle currency, have access to a computer terminal, master key, personal information or identifying information of another person, financial information of the employer or another person, or work in an area of the university which has been designated as a security-sensitive area.

General

Positions designated as security-sensitive will be identified as such in individual job descriptions, in any advertisement for job applicants, and in all personnel transaction forms and correspondence with human resources concerning recruitment. The department head is responsible for ensuring positions are correctly identified as being security-sensitive.

Human resources will conduct a criminal record check prior to employment in security-sensitive positions. The candidate may be offered employment by the university contingent upon the evaluation of the criminal history record check. If the check reveals a criminal record, the director of human resources will evaluate the record in light of the university's policy on employment of persons with criminal history and confer with the department head on whether the employee will be recommended or not recommended for employment. A recommendation for employment will be made when there is no criminal record or when there is a record but it is not considered a bar to employment of the candidate by the university for that position.

Cross Reference: Tex. Educ. Code § 51.215; Tex. Gov't Code § 411.094; Employment of Persons with Criminal History (11.12)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources and General Counsel

Forms: None

Board Committee Assignment: Academic and Student Affairs

Signs and Exhibits

Original Implementation: July 1980

Last Revision: July 23, 2019

I. Introduction

Stephen F. Austin State University reaffirms its commitment to the freedoms of speech and expression by establishing this policy. Individuals have the right to attempt to attract the attention of others, and corresponding rights to hear the speech of others when they choose to listen, and to ignore the speech of others when they choose not to listen. This policy outlines the rules that govern the use of signs and exhibits to attract the attention of others.

Students, faculty, and staff are free to express their views, individually or in organized groups by sign or exhibit, on any topic, in all parts of the campus. Persons not affiliated with the university are free to express their views by sign or exhibit in areas designated for that purpose.

II. Definitions

"Student" shall mean any person registered for academic credit at the university.

"Faculty" and "staff" shall mean any person employed by the university.

"Official organization" shall mean any organization recognized by the university.

A "sign" means any method of displaying a visual message to others, except transferring possession of a copy of the message will be considered distribution of literature and not a sign.

A "banner" is a sign hung from a structure, or between two buildings, structures, or poles. A banner posted as part of a manned exhibit may be considered to be a "sign".

A "kiosk" is an outdoor structure designated by the university for the posting of signs.

A "yard sign" is a temporary outdoor sign displayed above the ground. Yard signs must not exceed 18 inches x 24 inches in size.

An "exhibit" is a temporary outdoor display used for marketing or informational purposes. This includes all free-standing products, sandwich boards, easels, etc.

"Chalking" is use of water soluble sidewalk chalk on paved areas.

III. ~~Applicability~~

~~The rules articulated in this policy apply to all students, faculty, staff and their official organizations, as well as all other persons and groups. Due to practical administrative realities, this policy does not apply to the university and its agents, servants, or employees, acting in the course and scope of their employment. This exception also includes official activities of the SFA Alumni Association and SFASU Foundation.~~

IV. ~~Signs~~

~~All individuals or groups may display a sign as part of an assembly or demonstration. (See Assembly and Demonstrations (16.4). Signs on sticks, poles, or otherwise attached to any device are prohibited.~~

A. ~~Posting Signs on Kiosks~~

- ~~1. Only students, faculty, staff and their official organizations may post signs on kiosks. No advance permission is required so long as the sponsoring individual or person is clearly identified in writing on the material. Each sign posted on a kiosk must identify the student, employee or organization that posted the sign by using the full name of the individual or organization and contact information.~~
- ~~2. All persons or organizations seeking to display a sign without identifying information must complete a registration form with the Office of Student Engagement and deposit a true and correct copy of the sign to be displayed.~~
- ~~3. Students and employees posting signs as individuals may not post any sign advertising goods or services for sale except at locations designated for that purpose [see Solicitation on Campus (16.25)].~~
- ~~4. Due to space considerations, no sign posted on a kiosk may be larger than 11 inches by 17 inches.~~
- ~~5. Each sign must state the date the sign was posted or the date of the event being advertised.~~
- ~~6. Students, faculty, staff and their official organizations must take care to use the names and marks of the university on postings only in ways that are allowable and never in a way that would give the impression an event was sponsored by the university if that is not the case.~~
- ~~7. Signs may not be posted more than 14 days before the date of the event they advertise.~~
- ~~8. The person or organization that posts a sign on a kiosk must remove that sign no later than 14 days after it was posted, or 24 hours after the event it advertised has concluded, whichever is earlier. The university reserves the right to remove sign from kiosks after the date of the event has passed.~~
- ~~9. No sign may be posted on a kiosk over another properly posted sign.~~

10. ~~No person or organization may post more than two of the same signs on any one kiosk at the same time. If space is limited, the university reserves the right to remove multiple signs for the same event, program, or service, or signs sponsored by the same individual or organization, even if each is materially different.~~
11. ~~A list of all officially designated kiosks and of locations where students, faculty and staff may post signs advertising goods or services for sale will be available in the student engagement office and on their website.~~

~~B. Signs in Other Designated Locations~~

~~Each academic or administrative unit of the university may authorize the posting of signs in spaces that unit occupies and controls.~~

~~The use of posting space controlled by academic or administrative units may be limited to official statements or business of the unit, or to certain subject matters of interest within the unit, or to signs posted by persons or organizations affiliated with the unit.~~

~~C. Removal of Signs~~

~~The dean of student affairs, or their designee, may remove any sign that violates any of the rules outlined in this policy, or any sign that meets the legal standards below:~~

1. ~~A sign may be removed if it contains expressions that are an incitement to imminent lawlessness. Such removals may be conducted only with the advice of the general counsel and approval of the vice president for university affairs. Careful consideration must be given to the actual circumstances surrounding such expression, and removal can only occur if it appears that such provocation causes an immediate likelihood of violence or illegal acts. Advocacy of lawlessness is insufficient, and the speech must be directed to inciting or producing imminent lawless action and likely to incite or produce such action.~~
2. ~~A sign may be removed if it contains "fighting words" expressions. Such removals may be conducted only with the advice of the general counsel and approval of the vice president for university affairs. "Fighting words" are similar to expressions of imminent lawlessness, except they are addressed to individuals on a personal scale. Only those "fighting words" that pose an immediate likelihood to provoke the average person to retaliation and thereby cause a breach of the peace should be considered under this exception. Again, careful consideration must be given to the actual circumstances surrounding such expression.~~
3. ~~Signs may be removed if they contain obscenity. Such removals may be conducted only with the advice of the general counsel and approval of the vice president for university affairs. In determining what constitutes obscene material, a three-part test applies:~~

- a. ~~The average person applying contemporary community standards would find that the work taken as a whole, appeals to the prurient interest;~~
- b. ~~The work depicts or describes in a patently offensive way, sexual conduct specifically defined by the applicable state law; and~~
- c. ~~The work, taken as a whole, lacks serious literary, artistic, political or scientific value.~~

~~V. Banners, Yard Signs and Exhibits~~

~~Banners, yard signs and exhibits may be posted and displayed only by academic or administrative departments of the university. Those that do not clearly identify the sponsoring department may be removed.~~

~~VI. Tables~~

~~Students, employees and their official organizations may set up tables from which to display literature and disseminate information, subject to this policy.~~

~~A. Locations~~

~~Students, employees and their official organizations may set up tables in any outdoor location on the campus and in any indoor location subject to the rules governing the building housing this location.~~

~~Persons not affiliated with the university may set up tables in designated locations outdoors on campus and in indoor locations subject to the rules governing the building or grounds of the location.~~

~~B. Table Reservations~~

~~Tables may be reserved using the event checklist form. This form is available in the student engagement office and on the student engagement website. Tables may also be available on a first come, first served basis.~~

~~C. Restrictions~~

~~Tables may not disrupt university functions and/or interfere with vehicular and pedestrian traffic.~~

~~Use of amplified sound at tables is governed by the policy, Use of Amplified Sound on Campus Grounds (16.31).~~

~~Tables may not be set up on the lower level of the Stephen F. Austin statue plaza.~~

~~Tables may only be set up inside any building with permission from the academic or administrative unit that controls the space, or from the faculty member or staff member who controls the space at a particular time. Academic or administrative units may specify additional rules by restricting tables to reasonable locations in spaces occupied by that unit.~~

~~Each table must have a sign or literature that identifies the sponsor of the table.~~

~~Any person or organization sponsoring a table shall remove litter from the area that resulted from tabling activity.~~

~~Students, faculty, staff and their official organizations may supply their own tables.~~

~~VII.—Chalking~~

~~Chalking is permitted by students, faculty, staff, and their official organizations in approved designated areas as indicated on event checklist form.~~

~~Cross Reference:~~ ~~Use of Amplified Sound on Campus Grounds (16.31); Solicitation on Campus (16.25); Assembly and Demonstrations (16.4)~~

~~Responsible for Implementation:~~ ~~Vice President for University Affairs~~

~~Contact for Revision:~~ ~~Dean of Student Affairs~~

~~Forms:~~ ~~None~~

~~Board Committee Assignment:~~ ~~Building and Grounds~~

Student Records

Original Implementation: 1974

Last Revision: February 2, 2021

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, of application for admission and admissions scores.	Registrar, Executive Director Enrollment Management
Academic	Student Work products or artifacts	Instructor of Record, Department, or College
Financial	Amount of financial assistance given by Aid university and type of assistance.	Director of Financial and Scholarships, Controller
Disciplinary	Nature of offense and type of university and action.	Director of Student Rights 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 Services university physicians.	Director of Health
Counseling Services	Test scores and counseling sessions.	Director of Counseling

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

Temporary Employment

Original Implementation: September 1988

Last Revision: February 2, 2021

Purpose

This policy provides for a department to seek temporary employees when temporary assistance is not available within the department, division, or college.

General

The most appropriate option for securing a temporary employee should be determined using information about the restrictions and requirements relating to each option. Additional information can be obtained by contacting human resources.

Temporary Casual Employment

A department may employ a temporary, casual employee either on a part-time or full-time basis for a period not to exceed ninety (90) consecutive calendar days. There must be a break in service of at least 26 weeks before an individual may be allowed to work again in a casual position. Departments may hire a casual employee without posting the position. Casual employees must be paid at least minimum wage and must complete the appropriate paperwork with the human resources office on or before the first day of employment and attend the mandatory EEO Training within the first thirty (30) days of employment. Departments should complete the EPAF (Electronic Personnel Action Form) to hire the casual employee no later than the first day of employment.

Temporary Services

Temporary employees may also be secured through the temporary agency which has contracted with the university to provide temporary labor services. The university department needing assistance should contact the Procurement and Property Services Department. More detailed information regarding the temporary agency and how to secure a temporary employee can be found on the Procurement and Property Services website.

Temporary Staff Appointments

A department may occasionally have a need to fill a temporary position for a time period which would extend beyond the 90-day temporary casual employment category. A “temporary staff appointment” is available for a terminal period of time which would be determined and clearly communicated by the president or appropriate vice president before the employment could take place. These temporary positions will be required to be posted for 5 days. The appointment will be communicated in writing to the selected candidate by the hiring department, and it will be clearly stated that the position is temporary, for a specified period of time. These positions will be eligible for benefits if they are employed for a period of more than four and one-half months and have at least a 50% FTE. The

employment of the selected candidate will be “at-will” and may be terminated at any time during the employment period for any reason other than for a discriminatory or other unlawful reason.

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Electronic Personnel Action Form (EPAF)

Board Committee Assignment: Academic and Student Affairs

Textbook Adoption Timeline

Original Implementation: Unpublished

Last Revision: February 2, 2021

The purpose of this policy is to increase the availability of affordable course materials by decreasing costs to students and enhancing transparency and disclosure with respect to the selection, purchase, sale, and use of course materials. Timely adoption of the requested edition of the course textbook(s) and other relevant materials enables the university's contracted bookstore to secure adopted items at more favorable prices and meets the institution's requirements under the Higher Education Opportunity Act (HEOA). The HEOA and state law requires that information concerning textbooks and other course materials be included with the course schedule.

Prior to publishing the course schedule for each semester, the bookstore provides each academic unit head the support needed to facilitate timely adoption of textbooks and course materials. Approximate due dates for academic unit adoptions are listed below:

1. Fall semester - April 1
2. Spring semester - October 10
3. Summer semesters - March 1

As the HEOA requires that required textbooks and other course materials be included with the course schedule when it is made available to students, the actual adoption due dates may be different from those shown. Course materials include Open Educational Resources (OERs). Should a course have no textbook due to the use of OERs or other resources, the bookstore must be notified.

Following internal checks of textbook inventories, buy-back quantities, and quantities sold in previous semesters, the bookstore places purchase orders with publishers. If problems arise during the purchasing process, the bookstore notifies the appropriate academic unit head and, if necessary, new textbook selections are made.

Cross Reference: 20 U.S.C. § 1015b; Tex. Educ. Code § 51.451-455

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Provost and Vice President for Academic Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

The Ed and Gwen Cole Art Center and the Griffith Gallery

Original Implementation: April 21, 2009

Last Revision: February 2, 2021

Purpose

The Ed and Gwen Cole Art Center and the Griffith Gallery are exhibition spaces for artistic programs of the School of Art in the College of Fine Arts. These facilities are a major “window” through which the public creates its perceptions of Stephen F. Austin State University. As such, the facilities should in all ways project a high stature, professional and welcoming image and offer artistic experiences for students, faculty, and the public.

Scheduling and use of these facilities and equipment are pursuant to university policy on the Use of University Facilities (16.33). The dean of the College of Fine Arts is the administrator of these facilities and operating policies.

Governance

The director of the School of Art is responsible for scheduling all events and activities for the Ed and Gwen Cole Art Center and the Griffith Gallery, subject to final approval by the dean of the College of Fine Arts. External organizations may offer input but have no authority for scheduling these facilities.

Priority of Use

The Ed and Gwen Cole Art Center and the Griffith Gallery are academic and art exhibition facilities and the priority of use is as follows:

- Category I – Events of, or sponsored by, the Schools of Art, Music, or Theatre, and other performance and exhibition activities that are a necessary adjunct to academic programs in the College of Fine Arts;
- Category II – Events for organizations, such as the Friends of the Visual Arts, that are sponsored by the School of Art;
- Category III - Events co-sponsored by the College of Fine Arts such as university departments or registered student, faculty, or staff organizations of both an academic and non-academic nature; and
- Category IV - Events co-sponsored between university departments and non-university groups.

Scheduling Requests

Reservation requests will be evaluated on a case-by-case basis according to scheduling availability, the expected number of attendees, and relationship to the institutional mission and purpose of the facilities.

The facilities will not be used for:

- annual events in Category III or Category IV that are scheduled on an ongoing basis;
- receptions, including wedding or retirement receptions outside the College of Fine Arts;
- events at which alcohol will be sold, including ticketed events or events with admission charges (e.g., wine tasting);
- private party events in which alcohol would be served, unless sponsored or co-sponsored in Categories I, II, III, or IV;
- non-School of Art fundraising activities;
- events that promote an agenda other than that which would contribute to the facilities' purpose, e.g., political campaigning; or
- dances or other social events.

Reservation Procedures

Reservations for all events in the Ed and Gwen Cole Art Center or Griffith Gallery will be made through the director of the School of Art. Reservations will be limited by the exhibition schedule, and the nature of the event. Functions that may interfere with the conservation and preservation of art on exhibit will not be considered. Some exhibitions prohibit use of food and drink in the gallery by contractual stipulations.

A Facility Use Agreement form will be completed by School of Art personnel and must be signed by person or persons who are legally and financially responsible for the event. Fees will be discussed during the initial meeting with School of Art personnel. Four weeks prior to an event, a meeting will be scheduled to formalize set-up procedures, equipment, and personnel needs. Works of art and/or exhibitions will not be rearranged to accommodate receptions or events.

Food and Beverages

Food and beverages may be served in Griffith Gallery and the Ed and Gwen Cole Art Center, subject to approval. The serving and consumption of beer and wine in the Ed and Gwen Cole Art Center is permitted under the following conditions:

- The event must be approved at least six weeks in advance by the dean of the College of Fine Arts;
- The event must be an authorized, university-sponsored or co-sponsored event.

- For events sponsored or co-sponsored with a party that is not an SFA-affiliated 501(c)(3), the party is required to acquire insurance coverage to use the facility. The university must be named as an additional insured in the amounts and on the conditions required by the office of environmental health, safety and risk management. For purposes of this provision, an SFA-affiliated 501(c)(3) includes the SFA Foundation, SFA Real Estate Foundation, Alumni Association, and Tip-in Club;
- Food and non-alcoholic beverages must be served; and
- Any event must comply with local and state laws at all times, including the Texas Alcoholic Beverage Code (TABC). Serving of any alcoholic beverages must be done by TABC licensed bartenders.

At the end of each fiscal year, the dean of the College of Fine Arts will provide the number of alcohol-related events sponsored or co-sponsored at these facilities to the provost and vice president for academic affairs and general counsel.

Cross Reference: Use of University Facilities (16.33); Alcohol Service (13.7); Texas Alcoholic Beverage Code

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Dean of the College of Fine Arts

Forms: Cole Art Center Usage Agreement; Facilities Use Agreement

Board Committee Assignment: Building and Grounds

Time Reporting for Non-Exempt Employees

Original Implementation: Unpublished

Last Revision: February 2, 2021

Purpose

This policy establishes requirements for reporting hours worked and leave taken by non-exempt employees.

Definition

Non-exempt employees refers to employees who are entitled to the overtime provisions as described in the Fair Labor Standards Act.

General

Official time records are to be maintained for all non-exempt employees via the university's electronic timekeeping system. When an employee does not have access to enter time through the electronic timekeeping system, time must be recorded and sent to the payroll office in a method established and by the due dates set by the payroll office.

It is the supervisor's responsibility to instruct the employee on how and when to enter time worked and leave taken. It is the employee's responsibility to enter time worked and leave taken accurately per the supervisor's instructions. Under no circumstance may one employee clock in or out for another employee. Any employee participating in this type of violation is subject to disciplinary action, including termination.

An employee is also subject to disciplinary action, including termination, for any fraudulent time entered or failure to enter leave taken. It is the supervisor's responsibility to verify and electronically certify through the approval process that entries accurately reflect time worked and leave taken for the applicable period. Supervisors may delegate the responsibility to approve and verify time in the university's electronic timekeeping system, but under no circumstance should an employee approve his or her own time. All entries and approvals must be completed by the due dates established by the payroll office. These due dates and instructional information about the university's electronic timekeeping system shall be posted on the payroll office website.

The work week begins at 12:01 a.m. on Saturday and ends at 12:00 midnight on Friday. Compensatory time and overtime are calculated based on the university workweek and in accordance with the Fair Labor Standards Act. See the Overtime and Compensatory Time policy (12.14). Compensatory time, vacation leave, and sick leave may not be used prior to earning (or accruing) the leave.

Cross Reference: Overtime and Compensatory Time (12.14)

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Controller

Forms: None

Board Committee Assignment: Academic and Student Affairs

Workers Compensation Coverage

Original Implementation: September 1, 1975

Last Revision: February 2, 2021

Purpose

This policy affirms that all employees of the university are covered by the State Employees Worker's Compensation Act and gives information about reporting and responsibilities when an injury or accident occurs involving a university employee in the course and scope of their assigned duties.

General

All claims for benefits under this coverage are processed by the safety officer in the Environmental Health, Safety, and Risk Management Department. All injuries or accidents involving university employees in the course and scope of their assigned duties shall be reported on the Accident/Injury 24 Hour Report Quick Link located on the safety website to document the incident. If a claim is necessary, then the injured employee, accompanied by their supervisor, will file the required SORM paperwork with the safety officer, Environmental Health, Safety, and Risk Management Department, 430 E. Austin Street, extension 4514. The safety officer will file all required reports electronically with the State Office of Risk Management, Worker's Compensation Division.

Responsibility for the timely reporting of on-the-job injuries rests jointly with the employee and his/her supervisor. The injured employee must notify supervisory or management personnel about an on-the-job injury not later than the 30th day after the injury occurs, or if the injury is an occupational disease, not later than the 30th day after the employee knew or should have known that the disease might be related to the employment. Once an injury is reported, the injured employee must file a claim with the Environmental Health Safety and Risk Management Department for compensation not later than one year after the date of injury, or if the injury is an occupational disease, not later than one year after the employee knew or should have known that the disease was related to the employment. No claim is valid if reported more than 30 days after the incident.

In accordance with Tex. Gov't Code § 661.909, employees unable to work due to a worker's compensation injury, have the option to use their accrued sick and/or annual leave. If the employee chooses not to use any accrued sick or annual leave or has previously exhausted all leave, the employee's status will be leave without pay (LWOP). Once an employee's status is leave without pay (LWOP), the employee must submit a written request to the university president for a leave of absence (LOA). See Administrative Leave (Faculty and Staff), policy 12.11. FMLA leave runs concurrently with leave taken for a worker's compensation injury. Human Resources shall be notified by the employee's department director, supervisor, manager or departmental designee of the employee's paid or unpaid leave for further instructions to submit the required FMLA support documentation. Employees shall not return to full duty work without a work release from the Worker's Compensation doctor lifting all light duty restrictions.

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

Cross Reference: Family and Medical Leave (12.9); Administrative Leave (Faculty and Staff) (12.11); Tex. Lab. Code Chapters 409, 501; Tex. Gov't Code § 661.909

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Environmental Health, Safety, and Risk Management Department

Forms: Accident/Injury 24 Hour Quick Link

Board Committee Assignment: Academic and Student Affairs

Stephen F. Austin State University
Room and Board Rates for 2021-2022

Appendix 3

Residence Hall Rates	Fall or Spring
Wisely (Hall 5)	\$2,437
Steen (Hall 17)	\$2,765
Hall 20	\$3,119
Hall 10, Griffith (15), Kerr (18)	\$2,166
Hall 14 and 16	\$2,248
Lumberjack Landing	\$3,657
Lumberjack Lodge 4 br	\$4,184
Lumberjack Lodge 2 br	\$4,443
Lumberjack Village (Building 2) quads	\$3,256
Lumberjack Village (Buildings 1) 2br	\$4,443
Lumberjack Village (Buildings 1) 1 br	\$5,472
Lumberjack Village (Building 3) 2br	\$4,982
Lumberjack Village (Building 3) 1 br	\$5,938

Report to the Board of Regents – January 2021
 Grants¹ awarded between and October 1, 2020 and December 31, 2020

Fiscal Year 2021 – as of December 31, 2020

Amounts allocable to FY21 (detailed in this report)

Federal funds (direct and pass-through)	\$ 265,580
State Funds (direct and pass-through)	\$ 14,652
Private and Local Government	\$ 4,600
TOTAL	\$ 284,832

New awards, FY21 (detailed in this report, all project years) **\$ 209,757**

Cumulative amount allocable to FY21 **\$ 5,847,980**

Cumulative award total FY21, all project years **\$18,279,212**

Federal Financial Aid Funds (not included in ORGS totals) \$22,381,802

New, Additional, or Previously Unreported Awards for FY 2021

Federal Funds (direct and pass-throughs)

Title ** Rural Communities Opioid Response Program*
Sponsor: Texas Health Institute (prime sponsor - US Department of Health & Human Services)
Award Term: September 1, 2020 to February 28, 2022
PI/PD: Dr. Kristin Bailey-Wallace, School of Social Work
Total Award: \$82,000 **Amount Allocable to FY 2021:** \$82,000
This research project will develop a needs assessment using a community participatory research process to produce a strategic plan to assist Panola, Harrison, and Gregg counties in their opioid response programs.

Title ** Monitoring Avian Community Response to Forestry Wildlife Treatments along a Successional Chronosequence in the Lower Mississippi Alluvial Valley (LMAV)*
Sponsor: National Fish & Wildlife Foundation (prime sponsor - Fish & Wildlife Service, US Department of the Interior)
 Award # 1907.20.067912
Award Term: August 1, 2020 to March 31, 2023
PI/PD: Dr. Kathryn 'Rebecca' Kidd, Forestry
Total Award: \$73,377 **Amount Allocable to FY 2021:** \$41,269
Funds will allow graduate and undergraduate students to research bird species in approximately 1,147 acres of the LMAV including sites in Arkansas, Louisiana, and Mississippi.

Previously Described Awards:

**New awards or additional funds added to a current award*

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

Report to the Board of Regents – January 2021
 Grants¹ awarded between and October 1, 2020 and December 31, 2020

Distribution, Occupancy, and Mercury Bioaccumulation of Alligator Snapping Turtles (Macrochelys Temminckii) in Texas

Dr. Christopher Schalk, Forestry

Total Award: \$129,764 **Amount Allocable to FY 2021:** \$63,312

Ground Truthing the Species Distribution Model of Bachman's Sparrow

Dr. Christopher Schalk, Forestry

Total Award: \$128,494 **Amount Allocable to FY 2021:** \$43,871

****Special Education Consolidated Grant FY21 (IDEA-B)***

Lysa Hagan, Education Studies

Award Total: \$34,330 **Amount allocable to FY 2021:** \$34,330

****Interlibrary Loan Reimbursement Program (2020-2029) – current contract***

Jonathan Helmke, Library

Award Total: \$798 **Amount allocable to FY 2021:** \$798

Subtotal Federal Amounts Allocable to FY 2021 (this report) = \$265,580

Subtotal New Federal Awards (total award) = \$190,505

Federal Financial Aid Funds (not included in ORGS totals)

Agency: Department of Education

Manager: Rachele Garrett, Financial Aid

SEOG	FY21 Funds	\$ 393,802
PELL Grants	FY21 Funds	\$21,600,000
TEACH, graduate	FY21 Funds	\$ 360,000
TEACH, undergraduate	FY21 Funds	\$ 28,000

**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.*

