



REPORT TO THE BOARD OF REGENTS

January 28-30, 2018
Meeting 314

**STEPHEN F. AUSTIN
STATE UNIVERSITY**

TABLE OF CONTENTS
AGENDA BOOK AND BOARD REPORT FOR
JANUARY 28, 29, AND 30, 2018
BOARD OF REGENTS MEETING 314

Page

Sunday, January 28, 2018

Agenda item

1. Approval of the SFA Charter School 2016-17 Audited Financial Statements.....	1
Board of Regents Executive Session Agenda	2

Monday, January 29, 2018

Building and Grounds Committee Meeting Agenda	4
Finance and Audit Committee Meeting Agenda	11
Academic and Student Affairs Committee Meeting Agenda	36
Board of Regents Executive Session Agenda	42

Tuesday, January 30, 2018

Board of Regents Meeting Agenda	44
---------------------------------------	----

APPROVAL OF PAST MINUTES

Agenda item

2. Approval of Minutes for October 20, 2017 and October 22-23, 2017, Board of Regents Meetings	45
---	----

PERSONNEL

Agenda item

3. Faculty Appointments	46
4. Staff Appointments	48
5. Changes of Status	51
6. Retirements	54

ACADEMIC AND STUDENT AFFAIRS

Agenda item

- 7. Human Sciences Degree Program Modification55
- 8. Approval of Intellectual Property Assignment57
- 9. Approval of Academic and Student Affairs Policy Revisions58

BUILDING AND GROUNDS

Agenda item

- 10. Nelson Rusche College of Business Renovation.....58
- 11. East Austin Street Oncor Easement Agreement59
- 12. SFA Beef Farm and Deep East Texas Electric Cooperative
Easement Agreement.....60
- 13. Selection of Architectural Firm to Develop Programming and
Assessment for Athletic Facilities62
- 14. Approval of Building and Grounds Policy Revisions.....63

FINANCIAL AFFAIRS

Agenda item

- 15. Acknowledge Receipt of Audit Services Report64
- 16. Under Armour Sponsorship Agreement65
- 17. Athletic Ticketing System66
- 18. Human Sciences Mobile Food Laboratory67
- 19. Catalog and Curriculum System69
- 20. Budget and Financial Forecasting System71
- 21. Changes in Course Fees for FY2018-1972
- 22. Facilities and Services Fee Creation and Fee Consolidation73
- 23. Designated Tuition, Facilities and Services Fee, and Student
Services Fee Increases for FY2018-1974
- 24. Designated Tuition Fixed-Rate Tuition for FY2018-19
Entering Students.....75
- 25. FY2018-19 Room and Board Rates76
- 26. Oracle Exadata System Purchase77
- 27. Approval of the 2016-17 Annual Financial Report78
- 28. Resolution to Acknowledge Review of the Investment Policy
and Strategy.....79
- 29. Resolution to Approve Qualified Financial Institutions and
Investment Brokers80
- 30. Grant Awards Ratification81
- 31. Approval of Financial Affairs Policy Revisions82

MINUTES FOR APPROVAL

October 20, 2017, Regular Board Meeting
October 22-23, 2017 Regular Board Meeting

APPENDICES

Appendix 1 – Changes in Course Fees for FY2018-19

Appendix 2 – Room and Board Rates FY2018-19

Appendix 3 – Resolution to Acknowledge Review of the Investment Policy
and Strategy

Appendix 4 – Resolution to Approve Qualified Financial Institutions and
Investment Brokers

Appendix 5 – Grant Awards

Appendix 6 – Policy Revisions

**Stephen F. Austin State University
Board of Regents
Meeting 314
Sunday, January 28, 2018
5:00 p.m.**

Board of Regents Committee of the Whole Call to Order in Open Session (Scheduled for 5:00 p.m.)	David Alders Board Chair
Welcome to Newly Appointed Board Members Karen Gantt and Tom Mason Brigettee Henderson and Ken Schaefer	David Alders Board Chair
<p>Presentation and Board Action on Agenda Item 1:</p> <p><u>APPROVAL OF THE SFA CHARTER SCHOOL 2016-17 AUDITED FINANCIAL STATEMENTS</u></p> <p>Explanation:</p> <p>The Texas Education Agency (TEA) requires an audit for the SFA Charter School that is separate from the university. The SFA Charter School financial statements have been audited for the fiscal year that ended August 31, 2017, and will be submitted to the Texas Education Agency as required.</p> <p>Recommendation:</p> <p>The administration recommends approval of the August 31, 2017, SFA Charter School audited financial statements.</p>	<p>Gina Oglesbee Chief Audit Executive</p> <p>Danny Gallant Vice President for Finance and Administration</p>
Recess to Executive Session	David Alders Board Chair

Board Consideration of the following items:

Deliberations Regarding Security Devices or Security Audits (Texas Government Code, Section 551.076)

- Report from interim chief information officer
- Information Technology Audit Security Report

Deliberations Regarding Negotiated Contracts for Prospective Gifts or Donations (Texas Government Code, Section 551.073)

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

Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the chief information officer, the executive director of enrollment management, the dean of research and graduate studies, the head football coach, the vice presidents and the president (Texas Government Code, Section 551.074)

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, intellectual property, *Geralyn Franklin v. SFASU*, and *Courtney Christensen v. SFASU, et al.* (Texas Government Code, Section 551.071)

**Adjourn Executive Session
(Scheduled for approximately 7:00 p.m.)**

David Alders
Chair

**Board of Regents Committee of the Whole
Reconvene in Open Session at approximately
7:00 p.m.**

David Alders
Chair

**Recess Board of Regents Meeting to 8:00 a.m. on
Monday, January 29, 2018.**

**Stephen F. Austin State University
Board of Regents
Meeting 314
Monday, January 29, 2018
8:00 a.m.**

Board of Regents Committee of the Whole Call to Order in Open Session	David Alders Board Chair
Introduction and Welcome: Newly Appointed Regents Karen Gantt and Tom Mason Brigettee Henderson and Ken Schaefer	David Alders Board Chair
Report: Nacogdoches – SFA Joint Economic Development Committee	David Alders Board Chair
Report: Intercollegiate Athletic Advisory Committee	Bob Garrett Committee Chair
Recess to Committee Meetings: Building and Grounds Committee 8:30 a.m. to 11:00 a.m. Finance and Audit Committee 11:00 am to 4:00 p.m. Academic and Student Affairs Committee 4:00 p.m. to 5:00 p.m.	David Alders Board Chair

**Building and Grounds Committee Meeting
(Scheduled for 8:30 a.m.)**

<p>Call to Order in Open Session Members: Ken Schaefer, Karen Gantt, David Alders</p>	<p>Bob Garrett Committee Chair</p>
<p>Presentation and Committee Action on Agenda Item 10:</p> <p><u>NELSON RUSCHE COLLEGE OF BUSINESS RENOVATION</u></p> <p>Explanation:</p> <p>In the fall of 2015, the university completed a renovation of certain lobby space and common areas on the first and second floors of the Nelson Rusche College of Business, located in the McGee Building. Fundraising efforts have been ongoing to renovate the building's third and fourth floors. To fund the renovations, the university has received nearly \$465,000 in donations, with written commitments for additional donations of over \$683,000. The architectural firm of Goodwin-Lasiter-Strong has developed construction drawings for renovations to the third and fourth floor lobby space, common areas, and certain classrooms. The total cost of the renovation is estimated not to exceed \$1,250,000. With project approval, the renovation will occur during the summer of 2018.</p>	<p>Danny Gallant Vice President for Finance and Administration</p>

Recommendation:

The administration recommends renovation of the third and fourth floor lobby space, common areas, and certain classrooms at a cost not to exceed \$1,250,000 using donations. If necessary to complete the renovations, the administration recommends use of the higher education fund (HEF) to complete the project. The administration further recommends the president be authorized to sign associated contracts and purchase orders.

Presentation and Committee Action on Agenda Item 11:

EAST AUSTIN STREET ONCOR EASEMENT AGREEMENT

Explanation:

The Texas Department of Transportation (TxDot) plans to widen East Austin Street. The university owns property along a section of the street that will be reconstructed. In association with the construction project, it is necessary to provide Oncor Electric an easement to relocate an electric pole on SFA property at 3034 Raguet Street, located at the corner of East Austin and Raguet Streets.

Recommendation:

The administration recommends approval of the East Austin Street easement agreement between Stephen F. Austin State University and Oncor Electric. The administration further recommends presidential authorization to sign associated easement agreements and/or contracts.

Danny Gallant
Vice President for
Finance and
Administration

Presentation and Committee Action on Agenda Item 12:

SFA BEEF FARM AND DEEP EAST TEXAS ELECTRIC COOPERATIVE EASEMENT AGREEMENT

Explanation:

The Agriculture Department plans to construct an additional livestock facility on the SFA Beef Farm. To provide electricity to the facility, it is necessary to grant an easement to the Deep East Texas Electric Cooperative. The easement will be approximately 450 feet long and 30 feet wide, extending from US Highway 259 to the facility.

Recommendation:

The administration recommends approval of an electrical easement agreement between Stephen F. Austin State University and the Deep East Texas Electric Cooperative at the SFA Beef Farm. The administration further recommends presidential authorization to sign associated easement agreements and/or contracts.

Danny Gallant
Vice President for
Finance and
Administration

Presentation and Committee Action on Agenda Item 13:

SELECTION OF ARCHITECTURAL FIRM TO DEVELOP PROGRAMMING AND ASSESSMENT FOR ATHLETIC FACILITIES

Explanation:

The university seeks to enter into an agreement with a design firm with experience in the programming and design of university athletic facilities. The selected firm will evaluate the existing campus athletic facilities' current conditions to give direction and recommendations for improving these facilities operationally, functionally and aesthetically as well as provide benchmarking for evaluating these facilities in the future. To consider programming and design of athletic facilities, the university issued a request for qualifications (RFQ) to select a firm that could develop architectural programming and assessment for athletic facilities.

Recommendation:

From the RFQ finalists that are presented, the administration recommends the selection of an architectural firm to develop programming and assessment for athletic facilities. Designated funds will be used to fund the architectural assessment. The administration further recommends authorization of the president to sign all associated contract(s) and purchase orders.

Danny Gallant
Vice President for
Finance and
Administration

Presentation and Committee Action on Agenda Item 14:

APPROVAL OF BUILDING AND GROUNDS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Building and Grounds Committee will consider:

- use and occupancy of university property; and
- planning of, locating of, receiving bids for, awarding contracts for, construction of, and maintenance of buildings, utilities, and other physical facilities of the campus.

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

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented in Appendix 6:

Asbestos Removal 13.4
Alcohol Service 13.7
Turner Auditorium 16.30

Danny Gallant
Vice President for
Finance and
Administration

Damon Derrick
General Counsel

Report: Current Construction

Danny Gallant
Vice President for
Finance and
Administration

**Finance and Audit Committee Meeting
(Scheduled for 11:00 a.m.)**

Call to Order in Open Session
Members: Tom Mason, David Alders

Scott Coleman
Acting Committee
Chair

Report: Investments
Kevin McGinnis, Texas A&M University System

Danny Gallant
Vice President for
Finance and
Administration

Report: Marketing Update
Richards Carlberg

Jill Still
Vice President for
University
Advancement

The meeting will recess at approximately 12:15 p.m. The board will attend lunch at the Human Sciences Culinary Café. A quorum is expected to attend but no action will be taken. The meeting will reconvene at approximately 2:00 p.m.

**Reconvene Finance and Audit Committee
(Approximately 2:00 p.m.)**

Presentation and Committee Action on Agenda Item 15:

Gina Oglesbee
Chief Audit
Executive

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

Explanation:

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

The audit services report as presented includes the following:

- NCAA Agreed Upon Procedures Review
- Pineywoods AHEC Departmental Audit
- Student Services Departmental Audit
- Grants Audit
- Athletics Cash Count
- Update on Audit Plan

Recommendation:

Pending consideration by the Finance and Audit Committee.

Presentation and Committee Action on Agenda Item 16:

UNDER ARMOUR SPONSORSHIP AGREEMENT

Explanation:

The university seeks to enter into an agreement with Under Armour for exclusive sponsorship rights to supply logo/brand name athletic apparel, shoes, uniforms, equipment and accessory products to the university's intercollegiate athletic program. The agreement would provide the university with \$125,000 of Under Armour products in years one and two, and \$135,000 of Under Armour products in years three through five. The Under Armour team dealer will also supplement the agreement with a yearly product allotment of \$10,000. The university will receive additional products free of charge when certain dollar levels of university purchases of Under Armour products have been reached.

As part of the agreement, Under Armour will pay the university performance cash bonuses based on team(s) achievements in each contract year. In exchange, Under Armour would be granted exclusive rights to provide products to the intercollegiate athletic programs and coaching staff and use university trademarks to promote the relationship between the university and Under Armour. The agreement would be for an initial term of five years. Requests for Proposals (RFP) were issued and respondents were evaluated and ranked by a review committee.

Recommendation:

The administration recommends the president be authorized to sign an exclusive sponsorship agreement with Under Armour as the authorized vendor to supply equipment, apparel and accessory products for the university's athletic programs.

Danny Gallant
Vice President for
Finance and
Administration

Robert Hill
Director of Athletics

Presentation and Committee Action on Agenda Item 17:

ATHLETIC TICKETING SYSTEM

Explanation:

The university seeks to enter into an agreement with a company for a complete ticketing system for the university's athletic ticket office. In addition to an annual hosting fee there will be additional hardware that will need to be purchased as well as travel costs for the installation team. The system includes software and components of hardware. The agreement will be no longer than five years and at a cost not to exceed \$220,000. Requests for Proposals (RFP) were issued and respondents submitted written proposals and provided both in-person and online demonstrations of their product. Following that process respondents were evaluated and ranked by a review committee.

Recommendation:

The administration recommends that the university enter into an agreement with Paciolan for a complete ticketing system for the university's athletic ticket office for up to \$220,000 with the president authorized to sign the contracts and associated purchase orders. Designated funds will be used as the source of funds.

Danny Gallant
Vice President for
Finance and
Administration

Robert Hill
Director of Athletics

Presentation and Committee Action on Agenda Item 18:

HUMAN SCIENCES MOBILE FOOD LABORATORY

Explanation:

The School of Human Sciences Mobile Food Lab seeks to educate students through the real-world applications of the food industry and the utilization of community needs while serving the population of Stephen F. Austin State University and the surrounding area. The purpose of the mobile food lab is instructional/academic and is not meant to compete commercially with any businesses on campus or in the Nacogdoches or east Texas region.

The Mobile Food Lab will be owned and operated as an extension of Stephen F. Austin State University's School of Human Sciences and managed by the faculty and students associated with the courses utilizing the lab. The mobile food lab will operate as an extension of the hospitality administration program and the food nutrition and dietetics program.

The gourmet food truck trend, which began in Los Angeles, is popular across the nation. Austin leads the state in the number of food trucks throughout the city. The mobile food lab will allow students to experience active learning in a realistic setting. Patrons will pay for the food costs and the operational expenses by purchasing the menu items that are offered. As an extension of Stephen F. Austin State University, the mobile food lab will also expand the outreach opportunities in both service learning and recruiting.

Steve Bullard
Provost and Vice
President for
Academic Affairs

The mobile food lab has the potential to

- Offer a transformational learning experience not offered at any other four-year university in Texas or across the nation.
- Engage and empower students to create an entrepreneurial business plan and execute their plan at the senior level.
- Lead the way in innovation by providing hands-on experiences that also expand students' ability to work with community partners, such as the East Texas Food Bank.
- Offer a unique brand identity by being a visible presence at career and college fairs and other recruiting events.

Recommendation:

The administration recommends approval of the purchase of the Mobile Food Laboratory at a cost not to exceed \$200,000. Additionally, the administration recommends that the president be authorized to sign the necessary contracts and purchase orders. The source of the funding is the Higher Education Fund (HEF).

Presentation and Committee Action on Agenda Item 19:

CATALOG AND CURRICULUM SYSTEM

Explanation:

The current catalog and curriculum processes are time-consuming, outdated, and inefficient faculty and staff resulting in outdated products at the time of publication. The curriculum approval and the catalog updating cycles are out of sync and are currently managed through a paper process. Curriculum for the upcoming fall receives final approval in May, but the catalog moves into production in the early spring term. Therefore, the catalog does not accurately reflect the programs that have been modified and has none of the new courses that are available. The current catalog process takes up significantly more time and effort to work as a paper process and the result is an out of date publication. The current curriculum process is an out-of-date web based application used for program and course submissions, edits, and approvals with significant issues rendering the process time consuming and frustrating to manage.

The administration is seeking a software solution to manage the highly problematic curriculum approval process and the antiquated printed catalog product. The purchase of a catalog and curriculum system is expected to provide a solution to both business concerns and provide a positive impact on students, faculty, and staff.

The proposed software solution would provide a secure online process that syncs with Banner, utilizes online forms, creates a workflow, tracks status, tracks edits, includes course fees, reduces inefficiencies, accelerates the edit process, provides easier navigation, auditability, historical data access,

Steve Bullard
Provost and Vice
President for
Academic Affairs

Mary Nelle
Brunson
Associate Provost
and Vice President
for Academic Affairs

and results in an electronic up-to-date catalog. Significant process improvements, added functionality, improved student access, elimination of costly printed materials, improved accuracy, and meeting compliance requirements are additionally expected from a software solution implementation.

After review of various system bids and qualifying demonstrations, the implementation team selected Digarc's *Acalog and Curriculog* software on a three-year term contract. The Digarc cloud-based catalog and curriculum software solution with a three-year contract, including implementation, would cost \$317,000.

Recommendation:

The administration recommends the university be authorized to enter into a contract with Digarc for a catalog and curriculum system solution and associated maintenance costs for a period of three (3) years, at a cost not to exceed \$317,000. The administration further recommends the president be authorized to sign the associated contract and purchase order(s). Designated funds will be used to acquire, pay associated maintenance costs, and implement the system.

Presentation and Committee Action on Agenda Item 20:

BUDGET AND FINANCIAL FORECASTING SYSTEM

Explanation:

The administration has evaluated financial budgeting and forecasting systems that can provide short and long-term financial forecasts. Criteria used in the evaluation included alignment with the university's existing Enterprise Resource Planning (ERP) system components, the ability to provide financial information, and flexibility to project and develop a financial plan using various revenue and expenditures scenarios. Finance and institutional technology staff participated in system demonstrations by various vendors.

Vendors were evaluated based on alignment with the university's existing ERP system, the appropriate application and efficiency of the forecasting system, and the best value to the university. Following system reviews and demonstrations, the team selected an Oracle system solution that would be implemented by Huron Consulting Services.

The Oracle solution is a secure, online system that requires restrictive access. Detailed functionality includes operational budget planning, capital planning and long-term financial planning capabilities. The system will provide robust reporting and integration with SFA's Banner ERP system. System controls will be in place to maintain SFA data security.

Danny Gallant
Vice President for
Finance and
Administration

Recommendation:

Based on evaluation criteria and the best value to the university, the administration recommends approval to contract with Oracle for a budget and financial forecasting system and associated maintenance cost for a period of five years. In addition, the administration recommends approval to contract with Huron Consulting Services to implement the system. It is further recommended that designated funds be used to acquire the Oracle system, pay associated maintenance and/or subscription costs, and pay implementation costs, not to exceed \$380,000. The administration also recommends the president be authorized to sign associated contracts and purchase orders.

Presentation and Committee Action on Agenda Item 21:

CHANGES IN COURSE FEES FOR FY2018-19

Explanation:

Course and lab fees provide instructional departments with funds to support the actual cost of consumable supplies, service and travel related to specific courses. Course and lab fees are allocated to instructional departments for expenditures that are necessary for course delivery.

Recommendation:

The administration recommends approval of the changes in course and lab fees for fiscal year 2018-19 shown in Appendix 1.

Steve Bullard
Provost and Vice
President for
Academic Affairs

Presentation and Committee Action on Agenda Item 22:

FACILITIES AND SERVICES FEE CREATION AND FEE CONSOLIDATION

Explanation:

For a significant number of years, the university has charged various mandatory fees to support certain campus functions. Four particular mandatory fees include the academic advising, library, publication and technology fees. Students pay these fees on a semester credit hour basis. As listed below, the current total of these four fees is \$49 per semester credit hour:

Academic Advising Fee	\$ 5
Library Fee	\$13
Publication Fee	\$ 8
Technology Fee	\$23

To simplify billing and budgeting, the administration would like to consolidate these four mandatory fees into a charge of \$49 per semester credit hour.

Recommendation:

The administration recommends the consolidation of the academic advising, library, publication, and technology fees into a facilities and services fee. The Texas statutory authority for this fee is Texas Education Code 55.16. The administration further recommends the academic advising, library, publication and technology fees be abolished with the implementation of the facilities and services fee, effective fiscal year 2019.

Danny Gallant
Vice President for
Finance and
Administration

Presentation and Committee Action on Agenda Item 23:

DESIGNATED TUITION, FACILITIES AND SERVICES FEE, AND STUDENT SERVICES FEE INCREASES FOR FY2018-19

Explanation:

The university experienced a 7.44% decrease in operational general revenue appropriations totaling \$5,226,910 for the 2018-19 biennium. In addition, there were no increases in tuition or mandatory fees for fiscal year 2018. As a result, 2018 budget development required significant financial reallocations. To move forward with strategic campus initiatives, the administration proposes a \$__ per semester credit hour increase in designated tuition, a \$__ per semester credit hour increase in the facilities and services fee, and a \$1 per semester credit hour increase in the student services fee.

Recommendation:

Pending consideration by the Finance and Audit Committee.

Danny Gallant
Vice President for
Finance and
Administration

Presentation and Committee Action on Agenda Item 24:

Danny Gallant
Vice President for
Finance and
Administration

DESIGNATED TUITION FIXED-RATE TUITION FOR
FY2018-19 ENTERING STUDENTS

Explanation:

Pursuant to Texas Education Code 54.017, the university will offer undergraduate students the opportunity to participate in a fixed-rate tuition plan for those who enter the university during the 2018-19 fiscal year. The following fixed designated tuition rates apply for up to 12 semesters (4 years) from the point of initial enrollment at a public or private institution, regardless of whether the student enrolls at any institution during those semesters. (For purpose of this plan, summer is treated as one semester.) Therefore, the 2018-2019 Fixed Rate Plan is based on the semester an undergraduate student initially enrolled at any university.

Fiscal Year 2019 cohort - \$____

Fiscal Year 2020 cohort - \$____

Fiscal Year 2021 cohort - \$____

Fiscal Year 2022 cohort - \$____

Recommendation:

The administration recommends the adoption of the fixed-rate tuition amounts associated with the respective fiscal year cohorts presented above for undergraduate students who enter the university during the 2018-19 fiscal year. The administration further recommends the fixed rates apply from the point of initial enrollment at a public or private institution for up to twelve semesters, with summer enrollment counting as one semester.

Presentation and Committee Action on Agenda Item 25:

FY2019 ROOM AND BOARD RATES

Explanation:

Projected student housing and food service operating costs support the need for revised room and board rates for the 2019 fiscal year.

Pursuant to the relevant provisions of our food service contract, the administration and ARAMARK annually negotiate necessary rate increases for the upcoming fiscal year. Our contract uses the percentage increase in the Food and Beverage element of the Consumer Price Index (CPI) published by the Bureau of Labor Statistics, U. S. Department of Labor, for urban consumers ("CPI-U") in the South as a benchmark for any rate increase considered.

The proposed room and board rates for 2019 are presented in Appendix 2 and reflect a 1.9% increase in the board plans (excluding dining dollars) and a 2% increase in the general room rate with a specific enhanced rate for Hall 20 to fund significant on-going upgrades to that particular facility.

These revised rates will become effective for the fall semester of 2018.

Recommendation:

The administration recommends approval of a 1.9% increase for ARAMARK services and the proposed room and board rates for FY2019 as presented in Appendix 2.

Steve
Westbrook
Vice President for
University Affairs

Presentation and Committee Action on Agenda Item 26:

ORACLE EXADATA SYSTEM PURCHASE

Explanation:

As part of the FY2018 Higher Education Fund (HEF) budget, \$652,000 was allocated for the replacement of our Oracle Exadata hardware systems that have reached their end of life. These systems provide the platform for Banner, our mission critical business, HR, and student information systems. Although the replacement of this hardware is a one-time event for the life cycle of the equipment, annual licensing and support fees are an on-going expense. During negotiations with Oracle regarding this replacement, the option to enter into a four-year agreement to install Oracle's "Cloud at Customer" instance of their Exadata solution with Offsite Backup became available. This option offers several advantages to the university. It allows us to avoid some of the annual license and maintenance costs during years two through four of the agreement while ensuring SFA will avoid future campus license increases due to increased enrollment during the term of the agreement. In addition, this solution provides offsite backup storage for our Oracle databases and allows SFA to use all of Oracle's database features, including Advanced Security, without any additional licensing costs. In aggregate, when comparing the on-going costs of the proposed four-year agreement to the projected cost of stand-alone annual Oracle licensing and support renewal over the same term, savings exceed \$695,000.

Steve
Westbrook
Vice President for
University Affairs

Recommendation:

The administration recommends entering into a four-year agreement with Oracle for the purchase of the Oracle Exadata Cloud at Customer System with Offsite Backup system and its associated maintenance fees at a cost not to exceed \$1,812,432. The source of funds for the capital elements of this system will be HEF and the source of funds for licensing and maintenance will be designated funds. The administration also requests that the president be authorized to sign all associated contracts and purchase orders.

Presentation and Committee Action on Agenda Item 27:

APPROVAL OF THE 2016-17 ANNUAL FINANCIAL REPORT

Explanation:

As required by state law, Stephen F. Austin State University submitted the August 31, 2017, Annual Financial Report on November 20, 2017, 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, 2016, through August 31, 2017.

Recommendation:

The administration recommends approval of the Stephen F. Austin State University 2016-17 annual financial report.

Danny Gallant
Vice President for
Finance and
Administration

Presentation and Committee Action on Agenda Item 28:

RESOLUTION TO ACKNOWLEDGE REVIEW OF THE INVESTMENT POLICY AND STRATEGY

Explanation:

In accordance with Chapter 2256 of the Texas Government Code, the university's investment policy and strategy must be annually reviewed by the governing board of the institution. In addition, the law requires the governing body to adopt a written instrument by rule, order, ordinance, or resolution stating that it has reviewed the investment policy and strategy. The resolution, included in Appendix 3, acknowledges the board's annual review of Policy 3.21, Investments. Policy 3.21 is included in the Policy Revisions, Appendix 6.

Recommendation:

The administration recommends approval of the Resolution to Acknowledge Review of Investment Policy and Strategy as presented in Appendix 3.

Danny Gallant
Vice President for
Finance and
Administration

Presentation and Committee Action on Agenda Item 29:

RESOLUTION TO APPROVE QUALIFIED FINANCIAL INSTITUTIONS AND INVESTMENT BROKERS

Explanation:

Chapter 2256 of the Texas Government Code requires the university to adopt a resolution by the governing body of the institution that approves qualified investment brokers. The following financial institutions and brokers/investment managers are listed in the resolution, submitted in Appendix 4: Texas A&M University System, Bank of America, Wilmington Trust, N.A., Citizens 1st Bank, Austin Bank, BancorpSouth Bank, Commercial Bank of Texas NA, Southside Bank (Formerly Known as: First Bank and Trust), Regions Bank, Regions Morgan Keegan Trust, Huntington State Bank, Wells Fargo, US Bank, Texas Bank, Texpool, TexPool Prime, Texas Class, Texas Term, JPMorgan Chase & Co. and Texstar.

Recommendation:

The administration recommends approval of the financial institutions, investment managers and brokers presented in Appendix 4.

Danny Gallant
Vice President for
Finance and
Administration

Presentation and Committee Action on Agenda Item 30:

GRANT AWARDS RATIFICATION

Explanation:

During fiscal year 2018, the university has received multi-year grant awards totaling \$14,522,921, an increase of \$530,997 since the last report. Of this total, grant awards allocable to fiscal year 2018 are currently \$4,725,459, an increase of \$325,698 since the last report.

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

Recommendation:

The administration recommends approval and ratification of the additional fiscal year 2018 grant awards that total \$325,698. The grant awards are detailed in Appendix 5.

Danny Gallant
Vice President for
Finance and
Administration

Presentation and Committee Action on Agenda Item 31:

APPROVAL OF FINANCIAL AFFAIRS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Finance and Audit Committee will consider: budgeting and appropriations request processes; all requests for appropriations and budgets covering expenditures of educational and general funds and auxiliary programs including, but not limited to, student housing and the athletic department; handling of university funds, depositories, etc., whether from appropriated or contributed funds; and the auditing function of the university including, but not limited to, annual audit plan, internal and external audit reports, risk assessment, and audit/compliance issues.

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

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented in Appendix 6:

Historically Underutilized Businesses 17.7
Investments 3.21
Investments – Endowment Funds 3.20
Professional and Consulting Services 17.12
Purchase of Electronic and Information Resources 17.16

Danny Gallant
Vice President for
Finance and
Administration

Damon Derrick
General Counsel

<p>Purchase Requisition 17.19 Purchase Voucher 17.20 Risk Management 13.19</p>	
--	--

Report: Statutory Contract Report

Danny Gallant
Vice President for
Finance and
Administration

**Adjourn Finance and Audit Committee Meeting
(Approximately 4:00 p.m.)**

**Scott
Coleman**
Acting Committee
Chair

**Academic and Student Affairs Committee Meeting
(Scheduled at approximately 4:00 p.m.)**

Call to Order in Open Session
Members: Scott Coleman, Brigettee Henderson,
Maggie Wright, David Alders

Nelda Blair
Committee Chair

Deans Reports:

Nelson Rusche College of Business, Dean Tim Bisping

James I. Perkins College of Education, Dean Judy
Abbott

Steve Bullard
Provost and Vice
President for
Academic Affairs

Presentation and Committee Action on Agenda Item 7:

HUMAN SCIENCES DEGREE PROGRAM MODIFICATION

Explanation:

A new BS in Food and Nutrition, offered by the School of Human Sciences, was approved at the October board meeting. The School currently offers the BS in Food, Nutrition, and Dietetics. The School is proposing to change the name of the degree program from Food, Nutrition, and Dietetics to Dietetics and Nutritional Sciences. They are also proposing to use the CIP code 51.3101 for the renamed degree program.

Dietetics and Nutritional Sciences better represents the two focus areas of the degree program: Registered Dietitian and pre-professional. Students and faculty feel that nutritional sciences better represents the rigorous science component of the degree program and that dietetics represents the specialized focus of the degree program. The proposed CIP code, 51.3101., better reflects the preparation the students in the program receive. This program is focus on those who want to become a registered dietitian. The new program, BS in Food and Nutrition, is designed for those students who do not want to become a registered dietitian but who want to pursue a career in food and nutrition.

The Texas Higher Education Coordinating Board (THECB) is currently reviewing the proposal to offer the BS in Food and Nutrition. They have notified SFA that they cannot approve this program until the changes are approved and submitted for the existing program since they would both have the same CIP code and seem to serve the same student population. Therefore, the changes to the old program need to be approved and sent to THECB for approval before the new program can be approved.

Steve Bullard
Provost and Vice
President for
Academic Affairs

Recommendation:

The administration recommends the approval of the renaming of the BS in Food, Nutrition, and Dietetics to BS in Dietetics and Nutritional Sciences. Additionally, it is recommended that the change in the CIP code for the existing program be approved.

Presentation and Committee Action on Agenda Item 8:

Damon Derrick
General Counsel

APPROVAL OF INTELLECTUAL PROPERTY ASSIGNMENT

Explanation:

Dr. Matibur Zamadar officially disclosed to the university a potential invention on August 8, 2017. The university's Intellectual Property policy states: "When an invention arises from a project specially commissioned by the university, created in the course of employment, or with use of university facilities or funds beyond the provision of office or library facilities, the inventor hereby assigns all rights, title and interest in and to any such invention to the university or its designee and shall assist the university or its designee in securing patent protection on the invention."

The potential invention was developed within the scope of Dr. Zamadar's employment using university funds and facilities beyond the provision of office or library facilities; as a result, title to the potential invention belongs to the university. The administration does not desire to commit the resources necessary to pursue patenting and licensure of the potential invention, and Dr. Zamadar desires to pursue patenting and licensure on his own behalf.

Recommendation:

It is recommended that the university release the rights to the potential invention to Dr. Matibur Zamadar, subject to retainage of a portion of net income arising from the invention. It is further recommended that the president be authorized to sign all associated documents and agreements, as reviewed and approved by the general counsel.

Presentation and Committee Action on Agenda Item 9:

APPROVAL OF ACADEMIC AND STUDENT AFFAIRS
POLICY REVISIONS

Explanation:

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

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

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented in Appendix 6:

Academic Appeals by Students 6.3
Academic Unit Head Appointments 4.2
Animals on University Property 13.2
Class Attendance and Excused Absence 6.7
Disposition of Abandoned Personal Property 13.6
Electronic Personnel Action Form 11.8
Employee Training 11.11
Employment of Persons with Criminal History 11.12
Honorary Degree 5.12
Performance Management Plan 11.20
Retirement Programs 12.15

Steve Bullard
Provost and Vice
President for
Academic Affairs

Danny Gallant
Vice President for
Finance and
Administration

Steve
Westbrook
Vice President for
University Affairs

Damon Derrick
General Counsel

<p>Security Sensitive Positions 11.25 Temporary Employment 11.28 Textbook Adoption Timeline 10.1 Time Reporting for Non-Exempt Employees 11.30 Workers Compensation Coverage 12.23</p>	
<p>Adjourn Academic and Student Affairs Committee (Scheduled for approximately 5:00 p.m.)</p>	<p>Nelda Blair Committee Chair</p>
<p>Board of Regents Committee of the Whole Reconvene in Open Session at approximately 5:00 p.m. and Recess to Executive Session</p>	<p>David Alders Chair</p>

Board Consideration of the following items:

Deliberations Regarding Security Devices or Security Audits (Texas Government Code, Section 551.076)

- Report from interim chief information officer
- Information Technology Audit Security Report

Deliberations Regarding Negotiated Contracts for Prospective Gifts or Donations (Texas Government Code, Section 551.073)

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

Consideration of Individual Personnel Matters Relating to Appointment, Employment, Evaluation, Assignment, Duties, Discipline, or Dismissal of an Officer or Employee, including but not limited to the chief information officer, the executive director of enrollment management, the dean of research and graduate studies, the head football coach, the vice presidents and the president (Texas Government Code, Section 551.074)

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to reported complaints, intellectual property, *Geralyn Franklin v. SFASU*, and *Courtney Christensen v. SFASU, et al.* (Texas Government Code, Section 551.071)

**Adjourn Executive Session
(Scheduled for approximately 7:00 p.m.)**

David Alders
Chair

**Board of Regents Committee of the Whole
Reconvene in Open Session at approximately
7:00 p.m.**

**Recess Board of Regents Meeting to 9:00 a.m. on
Tuesday, January 30, 2018.**

**David Alders
Chair**

**Stephen F. Austin State University
Board of Regents
Meeting 314
Tuesday, January 30, 2018
9:00 a.m.**

Call to Order (Scheduled 9:00 a.m.)	David Alders Board Chair
<p>Pledge to the Flags</p> <p>I pledge allegiance to the Flag of the United States of America, and to the Republic for which it stands, one Nation under God, indivisible, with liberty and justice for all.</p> <p>Honor the Texas flag, I pledge allegiance to thee; Texas, one state under God, one and indivisible.</p>	Regent
Invocation	Regent
<p>Swearing-In Ceremony for Newly Appointed Regents</p> <p>Brigettee Henderson Karen Gantt Tom Mason Ken Schaefer</p>	
Special Recognitions	Baker Pattillo President

BOARD CONSIDERATION OF PAST MINUTES

Board Action on Agenda Item 2:

APPROVAL OF MINUTES OF OCTOBER 20, 2017 AND
OCTOBER 22-23, 2017, BOARD OF REGENTS MEETINGS

Explanation:

The minutes of the October 20, 2017, and the October 22 and 23, 2017, regular meetings of the Board of Regents are included in this report.

Recommendation:

It is recommended by the administration that the minutes of the October 20, 2017 and the October 22 and 23, 2017, meetings be approved.

David
Alders
Chair

BOARD CONSIDERATION OF PERSONNEL AGENDA ITEMS 3 - 6

Presentation and Board Action on Agenda Item 3:

FACULTY APPOINTMENTS

Explanation:

Faculty appointments are recommended by the department chair and approved by the appropriate dean, provost/vice president for academic affairs and the president. Each appointment states salary and percentage of time employed, designates the semester or academic year (September through May) and states the effective date of employment. In addition, last degree and granting institution are included for first-time appointments.

Recommendation:

It is recommended by the administration that the following faculty appointments be approved.

COLLEGE OF BUSINESS

David Kaiser, M.B.A. (Western Washington University), Lecturer of Economics and Finance Program Director of Chadwick Family Banking Program, at an 11-month salary of \$115,000 for 100 percent time, effective December 1, 2017.

COLLEGE OF SCIENCES AND MATHEMATICS

Joan Giudici, M.S. (University of Texas Pan American), Lab Coordinator of Biology, at an academic year salary of \$39,600 for 100 percent time, effective January 1, 2018.

Julie Lewis, M.S. (Stephen F. Austin State University), Lecturer of Mathematics and Statistics, at an academic year salary of \$45,000 for 100 percent time, effective January 1, 2018.

**Baker
Pattillo**
President

**Steve
Bullard**
Provost and
Vice President
for Academic
Affairs

Jessica Williams, M.S.N. (University of Texas at Tyler), Clinical Instructor of Nursing, at an academic year salary of \$54,000 for 100 percent time, effective January 1, 2018.

Allison Younger, B.S.N. (Stephen F. Austin State University), Clinical Instructor of Nursing, at an academic year salary of \$45,000 for 100 percent time, effective January 1, 2018.

<p>Presentation and Board Action on Agenda Item 4:</p> <p><u>STAFF APPOINTMENTS</u></p> <p>Explanation:</p> <p>Staff appointments are recommended by the department chair or director and approved by the appropriate dean (if applicable), vice president and/or president. Each appointment states salary, percentage of time employed, and designates the effective date of employment.</p> <p>Recommendation:</p> <p>It is recommended by the administration that the following staff appointments be approved.</p> <p>ATHLETICS</p> <p><u>Benjamin Beasley</u>, Assistant Football Coach, at an annual salary of \$57,000 for 100 percent time, effective February 1, 2018.</p> <p><u>William Best</u>, Assistant Football Coach, at an annual salary of \$84,000 for 100 percent time, effective February 1, 2018.</p> <p><u>Jeffery Byrd</u>, Assistant Football Coach, at an annual salary of \$93,000 for 100 per cent time, effective February 1, 2018.</p> <p><u>Tony Gilbert</u>, Assistant Football Coach, at an annual salary of \$57,000 for 100 percent time, effective January 14, 2018.</p> <p><u>Jeremy Hammock</u>, Assistant Football Coach, at an annual salary of \$59,000 for 100 percent time, effective February 1, 2018.</p> <p><u>Thomas Howe</u>, Assistant Football Coach, at an annual salary of \$64,000 for 100 percent time, effective February 1, 2018.</p>	<p>Baker Pattillo President</p> <p>Steve Bullard Provost and Vice President for Academic Affairs</p> <p>Danny Gallant Vice President for Finance and Administration</p> <p>Steve Westbrook Vice President for University Affairs</p>
--	--

Joshua Lawson, Assistant Football Coach, at an annual salary of \$70,000 for 100 percent time, effective January 10, 2018.

Jeremy Moses, Assistant Football Coach, at an annual salary of \$55,000 for 100 percent time, effective February 1, 2018.

FINANCE AND ADMINISTRATION

Michaelyn Greene, Director of Administrative Services, at an annual salary of \$90,000 for 100 percent time, effective January 8, 2018.

Judith Kruwell, Director of Financial Services, at an annual salary of \$90,000 for 100 percent time, effective November 6, 2017.

FINANCIAL AID

Jason Callico, Assistant Director of Financial Aid, at an annual salary of \$50,000 for 100 percent time, effective January 2, 2018.

GENERAL COUNSEL

Kirsty Dymond, Assistant General Counsel, at an annual salary of \$70,000 for 100 percent time, effective December 11, 2017.

INFORMATION TECHNOLOGY SERVICES

Jason Wiggins, Manager of Network Services, at an annual salary of \$75,588 for 100 percent time, effective January 1, 2018.

RESIDENCE LIFE

Sarahina Borgia, Hall Director, at an annual salary of \$29,735 for 100 percent time, effective November 8, 2017.

<p><u>Jamaica Ethington</u>, Hall Director, at an annual salary of \$29,735 for 100 percent time, effective November 8, 2017.</p>	
---	--

<p>Presentation and Board Action on Agenda Item 5:</p> <p><u>CHANGES OF STATUS</u></p> <p>Explanation:</p> <p>Changes of status include changes in appointment, percentage of time, salary or semesters. These changes are initiated by the department chair or director and routed through administrative channels for approval.</p> <p>Recommendation:</p> <p>It is recommended by the administration that the following changes of status be approved.</p> <p>AUDIT SERVICES</p> <p><u>Steffany Newsome</u>, from Accounting Assistant III in Student Center Administration at an annual salary of \$37,710 for 100 percent time, to Risk and Compliance Auditor at an annual salary of \$60,000 for 100 percent time, effective December 18, 2017.</p> <p><u>Jane Ann Bridges</u>, from Risk and Compliance Auditor at an annual salary of \$75,000 for 100 percent time, to Assistant Director of Audit Services at an annual salary of \$88,230 for 100 percent time, effective October 1, 2017.</p> <p>CENTER FOR TEACHING AND LEARNING</p> <p><u>Mary Smith</u>, from Assistant Director of Instructional Technology at an annual salary of \$71,441 for 100 percent time, to Interim Director of Instructional Technology at an annual salary of \$71,441 for 100 percent time, with an additional stipend of \$750 per month for 12 months for interim duties, effective September 1, 2017.</p>	<p>Baker Pattillo President</p> <p>Steve Bullard Provost and Vice President for Academic Affairs</p> <p>Danny Gallant Vice President for Finance and Administration</p> <p>Steve Westbrook Vice President for University Affairs</p>
---	--

CONTROLLER

Danette Sales, from Assistant Controller at an annual salary of \$90,860 for 100 percent time, to Controller at an annual salary of \$115,000 for 100 percent time, effective January 1, 2018.

PHYSICAL PLANT

Ron Watson, from Assistant Director at an annual salary of \$95,457 for 100 percent time, to Director at an annual salary of \$115,000 for 100 percent time, effective January 1, 2018.

RESIDENCE LIFE

Heather Burns, from Hall Director at an annual salary of \$30,330 for 100 percent time, to Area Coordinator at an annual salary of \$35,000 for 100 percent time, effective October 16, 2017.

LIBERAL AND APPLIED ARTS

Haskell Cooper, from Associate Professor and Director of Multidisciplinary Programs at an 11-month salary of \$102,500 for 100 percent time, to Associate Professor and Associate Director of Center for Rural Social Work Research and Development at an 11-month salary of \$102,500 for 100 percent time, effective November 1, 2017.

SCIENCES AND MATHEMATICS

Deborah Dunn, from Professor of Computer Science at a an academic year salary of \$112,189 for 100 percent time, to Professor and Interim Chair of Computer Science at an 11-month salary of \$112,189 for 100 percent time with an additional stipend of \$1,107 per month for 11 months for interim duties, effective September 1, 2017.

<p><u>Vance Imhoff</u>, from Lab Coordinator of Biology at an academic year salary of \$37,518 for 100 percent time, to Lecturer of Biology at an academic year salary of \$42,500 for 100 percent time, effective January 1, 2018.</p>	
---	--

Presentation and Board Action on Agenda Item 6:

RETIREMENTS

Explanation:

Retirements are initiated at the departmental level and processed through administrative channels.

Recommendation:

It is recommended by the administration that the following retirements be accepted:

James Lee Brittain, Director of Physical Plant, effective December 31, 2017, with 13 years of service.

Judy Duffin, Payroll Manager, effective December 31, 2017, with 22 years of service.

Dora Fuselier, Controller, effective February 28, 2018, with 21 years of service.

Paul Weatherford, Laboratory Associate in Soil, Plant and Water Analysis Laboratory, effective October 31, 2017, with 32 years of service.

Kathleen Williamson, Director of Financial Services, effective December 31, 2017, with 14 years of service.

Steve Bullard
Provost and
Vice President
for Academic
Affairs

Danny Gallant
Vice President
for Finance
and
Administration

**ACADEMIC AND STUDENT AFFAIRS COMMITTEE
REPORT:
Consideration of Agenda Items 7 – 9**

**Nelda
Blair
Chair**

Report and Board Action on Agenda Item 7:

HUMAN SCIENCES DEGREE PROGRAM MODIFICATION

Explanation:

A new BS in Food and Nutrition, offered by the School of Human Sciences, was approved at the October board meeting. The School currently offers the BS in Food, Nutrition, and Dietetics. The School is proposing to change the name of the degree program from Food, Nutrition, and Dietetics to Dietetics and Nutritional Sciences. They are also proposing to use the CIP code 51.3101 for the renamed degree program.

Dietetics and Nutritional Sciences better represents the two focus areas of the degree program: Registered Dietitian and pre-professional. Students and faculty feel that nutritional sciences better represents the rigorous science component of the degree program and that dietetics represents the specialized focus of the degree program. The proposed CIP code, 51.3101., better reflects the preparation the students in the program receive. This program is focus on those who want to become a registered dietitian. The new program, BS in Food and Nutrition, is designed for those students who do not want to become a registered dietitian but who want to pursue a career in food and nutrition.

The Texas Higher Education Coordinating Board (THECB) is currently reviewing the proposal to offer the BS in Food and Nutrition. They have notified SFA that they cannot approve this program until the changes are approved and submitted for the existing program since they would both have the same CIP code and seem to serve the same student population. Therefore, the changes to the old program need to approved and sent to THECB for approval before the new program can be approved.

Recommendation:

The administration recommends the approval of the renaming of the BS in Food, Nutrition, and Dietetics to BS in Dietetics and Nutritional Sciences. Additionally, it is recommended that the change in the CIP code for the existing program be approved.

Report and Board Action on Agenda Item 8:

APPROVAL OF INTELLECTUAL PROPERTY ASSIGNMENT

Explanation:

Dr. Matibur Zamadar officially disclosed to the university a potential invention on August 8, 2017. The university's Intellectual Property policy states: "When an invention arises from a project specially commissioned by the university, created in the course of employment, or with use of university facilities or funds beyond the provision of office or library facilities, the inventor hereby assigns all rights, title and interest in and to any such invention to the university or its designee and shall assist the university or its designee in securing patent protection on the invention."

The potential invention was developed within the scope of Dr. Zamadar's employment using university funds and facilities beyond the provision of office or library facilities; as a result, title to the potential invention belongs to the university. The administration does not desire to commit the resources necessary to pursue patenting and licensure of the potential invention, and Dr. Zamadar desires to pursue patenting and licensure on his own behalf.

Recommendation:

It is recommended that the university release the rights to the potential invention to Dr. Matibur Zamadar, subject to retainage of a portion of net income arising from the invention. It is further recommended that the president be authorized to sign all associated documents and agreements, as reviewed and approved by the general counsel.

Report and Board Action on Agenda Item 9:

APPROVAL OF ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

Explanation:

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

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

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented in Appendix 6:

Academic Appeals by Students 6.3
Academic Unit Head Appointments 4.2
Animals on University Property 13.2
Class Attendance and Excused Absence 6.7
Disposition of Abandoned Personal Property 13.6
Electronic Personnel Action Form 11.8
Employee Training 11.11
Employment of Persons with Criminal History 11.12
Honorary Degree 5.12
Performance Management Plan 11.20
Retirement Programs 12.15
Security Sensitive Positions 11.25
Temporary Employment 11.28
Textbook Adoption Timeline 10.1
Time Reporting for Non-Exempt Employees 11.30
Workers Compensation Coverage 12.23

Report and Board Action on Agenda Item 10:

NELSON RUSCHE COLLEGE OF BUSINESS RENOVATION

Explanation:

In the fall of 2015, the university completed a renovation of certain lobby space and common areas on the first and second floors of the Nelson Rusche College of Business, located in the McGee Building. Fundraising efforts have been ongoing to renovate the building's third and fourth floors. To fund the renovations, the university has received nearly \$465,000 in donations, with written commitments for additional donations of over \$683,000. The architectural firm of Goodwin-Lasiter-Strong has developed construction drawings for renovations to the third and fourth floor lobby space, common areas, and certain classrooms. The total cost of the renovation is estimated not to exceed \$1,250,000. With project approval, the renovation will occur during the summer of 2018.

Recommendation:

The administration recommends renovation of the third and fourth floor lobby space, common areas, and certain classrooms at a cost not to exceed \$1,250,000 using donations. If necessary to complete the renovations, the administration recommends use of the higher education fund (HEF) to complete the project. The administration further recommends the president be authorized to sign associated contracts and purchase orders.

Report and Board Action on Agenda Item 11:

EAST AUSTIN STREET ONCOR EASEMENT AGREEMENT

Explanation:

The Texas Department of Transportation (TxDot) plans to widen East Austin Street. The university owns property along a section of the street that will be reconstructed. In association with the construction project, it is necessary to provide Oncor Electric an easement to relocate an electric pole on SFA property at 3034 Raguet Street, located at the corner of East Austin and Raguet Streets.

Recommendation:

The administration recommends approval of the East Austin Street easement agreement between Stephen F. Austin State University and Oncor Electric. The administration further recommends presidential authorization to sign associated easement agreements and/or contracts.

Report and Board Action on Agenda Item 12:

SFA BEEF FARM AND DEEP EAST TEXAS ELECTRIC COOPERATIVE
EASEMENT AGREEMENT

Explanation:

The Agriculture Department plans to construct an additional livestock facility on the SFA Beef Farm. To provide electricity to the facility, it is necessary to grant an easement to the Deep East Texas Electric Cooperative. The easement will be approximately 450 feet long and 30 feet wide, extending from US Highway 259 to the facility.

Recommendation:

The administration recommends approval of an electrical easement agreement between Stephen F. Austin State University and the Deep East Texas Electric Cooperative at the SFA Beef Farm. The administration further recommends presidential authorization to sign associated easement agreements and/or contracts.

Report and Board Action on Agenda Item 13:

SELECTION OF ARCHITECTURAL FIRM TO DEVELOP PROGRAMMING
AND ASSESSMENT FOR ATHLETIC FACILITIES

Explanation:

The university seeks to enter into an agreement with a design firm with experience in the programming and design of university athletic facilities. The selected firm will evaluate the existing campus athletic facilities' current conditions to give direction and recommendations for improving these facilities operationally, functionally and aesthetically as well as provide benchmarking for evaluating these facilities in the future. To consider programming and design of athletic facilities, the university issued a request for qualifications (RFQ) to select a firm that could develop architectural programming and assessment for athletic facilities.

Recommendation:

From the RFQ finalists that are presented, the administration recommends the selection of an architectural firm to develop programming and assessment for athletic facilities. Designated funds will be used to fund the architectural assessment. The administration further recommends authorization of the president to sign all associated contract(s) and purchase orders.

Report and Board Action on Agenda Item 14:

APPROVAL OF BUILDING AND GROUNDS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Building and Grounds Committee will consider:

- use and occupancy of university property; and
- planning of, locating of, receiving bids for, awarding contracts for, construction of, and maintenance of buildings, utilities, and other physical facilities of the campus.

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

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented in Appendix 6:

Asbestos Removal 13.4

Alcohol Service 13.7

Turner Auditorium 16.30

Report and Board Action on Agenda Item 15:

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

Explanation:

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

The audit services report as presented includes the following:

- NCAA Agreed Upon Procedures Review
- Pinewoods AHEC Departmental Audit
- Student Services Departmental Audit
- Grants Audit
- Athletics Cash Count
- Update on Audit Plan

Recommendation:

The Finance and Audit Committee recommends that the Board of Regents acknowledge receipt of the audit services report as presented.

Report and Board Action on Agenda Item 16:

UNDER ARMOUR SPONSORSHIP AGREEMENT

Explanation:

The university seeks to enter into an agreement with Under Armour for exclusive sponsorship rights to supply logo/brand name athletic apparel, shoes, uniforms, equipment and accessory products to the university's intercollegiate athletic program. The agreement would provide the university with \$125,000 of Under Armour products in years one and two, and \$135,000 of Under Armour products in years three through five. The Under Armour team dealer will also supplement the agreement with a yearly product allotment of \$10,000. The university will receive additional products free of charge when certain dollar levels of university purchases of Under Armour products have been reached.

As part of the agreement, Under Armour will pay the university performance cash bonuses based on team(s) achievements in each contract year. In exchange, Under Armour would be granted exclusive rights to provide products to the intercollegiate athletic programs and coaching staff and use university trademarks to promote the relationship between the university and Under Armour. The agreement would be for an initial term of five years. Requests for Proposals (RFP) were issued and respondents were evaluated and ranked by a review committee.

Recommendation:

The administration recommends the president be authorized to sign an exclusive sponsorship agreement with Under Armour as the authorized vendor to supply equipment, apparel and accessory products for the university's athletic programs.

Report and Board Action on Agenda Item 17:

ATHLETIC TICKETING SYSTEM

Explanation:

The university seeks to enter into an agreement with a company for a complete ticketing system for the university's athletic ticket office. In addition to an annual hosting fee there will be additional hardware that will need to be purchased as well as travel costs for the installation team. The system includes software and components of hardware. The agreement will be no longer than five years and at a cost not to exceed \$220,000. Requests for Proposals (RFP) were issued and respondents submitted written proposals and provided both in-person and online demonstrations of their product. Following that process respondents were evaluated and ranked by a review committee.

Recommendation:

The administration recommends that the university enter into an agreement with Paciolan for a complete ticketing system for the university's athletic ticket office for up to \$220,000 with the president authorized to sign the contracts and associated purchase orders. Designated funds will be used as the source of funds.

Report and Board Action on Agenda Item 18:

HUMAN SCIENCES MOBILE FOOD LABORATORY

Explanation:

The School of Human Sciences Mobile Food Lab seeks to educate students through the real-world applications of the food industry and the utilization of community needs while serving the population of Stephen F. Austin State University and the surrounding area. The purpose of the mobile food lab is instructional/academic and is not meant to compete commercially with any businesses on campus or in the Nacogdoches or east Texas region.

The Mobile Food Lab will be owned and operated as an extension of Stephen F. Austin State University's School of Human Sciences and managed by the faculty and students associated with the courses utilizing the lab. The mobile food lab will operate as an extension of the hospitality administration program and the food nutrition and dietetics program.

The gourmet food truck trend, which began in Los Angeles, is popular across the nation. Austin leads the state in the number of food trucks throughout the city. The mobile food lab will allow students to experience active learning in a realistic setting. Patrons will pay for the food costs and the operational expenses by purchasing the menu items that are offered. As an extension of Stephen F. Austin State University, the mobile food lab will also expand the outreach opportunities in both service learning and recruiting.

The mobile food lab has the potential to

- Offer a transformational learning experience not offered at any other four-year university in Texas or across the nation.
- Engage and empower students to create an entrepreneurial business plan and execute their plan at the senior level.
- Lead the way in innovation by providing hands-on experiences that also expand students' ability to work with community partners, such as the East Texas Food Bank.
- Offer a unique brand identity by being a visible presence at career and college fairs and other recruiting events.

Recommendation:

The administration recommends approval of the purchase of the Mobile Food Laboratory at a cost not to exceed \$200,000. Additionally, the administration recommends that the president be authorized to sign the necessary contracts and purchase orders. The source of the funding is the Higher Education Fund (HEF).

Report and Board Action on Agenda Item 19:

CATALOG AND CURRICULUM SYSTEM

Explanation:

The current catalog and curriculum processes are time-consuming, outdated, and inefficient faculty and staff resulting in outdated products at the time of publication. The curriculum approval and the catalog updating cycles are out of sync and are currently managed through a paper process. Curriculum for the upcoming fall receives final approval in May, but the catalog moves into production in the early spring term. Therefore, the catalog does not accurately reflect the programs that have been modified and has none of the new courses that are available. The current catalog process takes up significantly more time and effort to work as a paper process and the result is an out of date publication. The current curriculum process is an out-of-date web based application used for program and course submissions, edits, and approvals with significant issues rendering the process time consuming and frustrating to manage.

The administration is seeking a software solution to manage the highly problematic curriculum approval process and the antiquated printed catalog product. The purchase of a catalog and curriculum system is expected to provide a solution to both business concerns and provide a positive impact on students, faculty, and staff.

The proposed software solution would provide a secure online process that syncs with Banner, utilizes online forms, creates a workflow, tracks status, tracks edits, includes course fees, reduces inefficiencies, accelerates the edit process, provides easier navigation, auditability, historical data access, and results in an electronic up to date catalog. Significant process improvements, added functionality, improved student access, elimination of costly printed materials, improved accuracy, and meeting compliance requirements are additionally expected from a software solution implementation.

After review of various system bids and qualifying demonstrations, the implementation team selected Digarc's *Acalog and Curriculum* software on a three-year term contract. The Digarc cloud-based catalog and curriculum software solution with a three-year contract, including implementation, would cost \$317,000.

Recommendation:

The administration recommends the university be authorized to enter into a contract with Digarc for a catalog and curriculum system solution and associated maintenance costs for a period of three (3) years, at a cost not to exceed \$317,000. The administration further recommends the president be authorized to sign the associated contract and purchase order(s). Designated funds will be used to acquire, pay associated maintenance costs, and implement the system.

Report and Board Action on Action Item 20:

BUDGET AND FINANCIAL FORECASTING SYSTEM

Explanation:

The administration has evaluated financial budgeting and forecasting systems that can provide short and long-term financial forecasts. Criteria used in the evaluation included alignment with the university's existing Enterprise Resource Planning (ERP) system components, the ability to provide financial information, and flexibility to project and develop a financial plan using various revenue and expenditures scenarios. Finance and institutional technology staff participated in system demonstrations by various vendors.

Vendors were evaluated based on alignment with the university's existing ERP system, the appropriate application and efficiency of the forecasting system, and the best value to the university. Following system reviews and demonstrations, the team selected an Oracle system solution that would be implemented by Huron Consulting Services.

The Oracle solution is a secure, online system that requires restrictive access. Detailed functionality includes operational budget planning, capital planning and long-term financial planning capabilities. The system will provide robust reporting and integration with SFA's Banner ERP system. System controls will be in place to maintain SFA data security.

Recommendation:

Based on evaluation criteria and the best value to the university, the administration recommends approval to contract with Oracle for a budget and financial forecasting system and associated maintenance cost for a period of five years. In addition, the administration recommends approval to contract with Huron Consulting Services to implement the system. It is further recommended that designated funds be used to acquire the Oracle system, pay associated maintenance and/or subscription costs, and pay implementation costs, not to exceed \$380,000. The administration also recommends the president be authorized to sign associated contracts and purchase orders.

Report and Board Action on Agenda Item 21:

CHANGES IN COURSE FEES FOR FY2018-19

Explanation:

Course and lab fees provide instructional departments with funds to support the actual cost of consumable supplies, service and travel related to specific courses. Course and lab fees are allocated to instructional departments for expenditures that are necessary for course delivery.

Recommendation:

The administration recommends approval of the changes in course and lab fees for fiscal year 2018-19 shown in Appendix 1.

Report and Board Action on Agenda Item 22:

FACILITIES AND SERVICES FEE CREATION AND FEE CONSOLIDATION

Explanation:

For a significant number of years, the university has charged various mandatory fees to support certain campus functions. Four particular mandatory fees include the academic advising, library, publication and technology fees. Students pay these fees on a semester credit hour basis. As listed below, the current total of these four fees is \$49 per semester credit hour:

Academic Advising Fee	\$ 5
Library Fee	\$13
Publication Fee	\$ 8
Technology Fee	\$23

To simplify billing and budgeting, the administration would like to consolidate these four mandatory fees into a charge of \$49 per semester credit hour.

Recommendation:

The administration recommends the consolidation of the academic advising, library, publication, and technology fees into a facilities and services fee. The Texas statutory authority for this fee is Texas Education Code 55.16. The administration further recommends the academic advising, library, publication and technology fees be abolished with the implementation of the facilities and services fee, effective fiscal year 2019.

Report and Board Action on Agenda Item 23:

DESIGNATED TUITION, FACILITIES AND SERVICES FEE, AND STUDENT SERVICES FEE INCREASES FOR FY2018-19

Explanation:

The university experienced a 7.44% decrease in operational general revenue appropriations totaling \$5,226,910 for the 2018-19 biennium. In addition, there were no increases in tuition or mandatory fees for fiscal year 2018. As a result, 2018 budget development required significant financial reallocations. To move forward with strategic campus initiatives, the administration proposes a \$__ per semester credit hour increase in designated tuition, a \$__ per semester credit hour increase in the facilities and services fee, and a \$1 per semester credit hour increase in the student services fee.

Recommendation:

The administration recommends that designated tuition be increased from \$192 to \$__ per semester credit hour, the facilities and services fee be increased from \$49 to \$__ per semester credit hour, and the student services fee be increased from \$12.50 to \$13.50 per semester credit hour, effective fiscal year 2019.

Report and Board Action on Agenda Item 24:

DESIGNATED TUITION FIXED-RATE TUITION FOR FY2018-19
ENTERING STUDENTS

Explanation:

Pursuant to Texas Education Code 54.017, the university will offer undergraduate students the opportunity to participate in a fixed-rate tuition plan for those who enter the university during the 2018-19 fiscal year. The following fixed designated tuition rates apply for up to 12 semesters (4 years) from the point of initial enrollment at a public or private institution, regardless of whether the student enrolls at any institution during those semesters. (For purpose of this plan, summer is treated as one semester.) Therefore, the 2018-2019 Fixed Rate Plan is based on the semester an undergraduate student initially enrolled at any university.

Fiscal Year 2019 cohort - \$____

Fiscal Year 2020 cohort - \$____

Fiscal Year 2021 cohort - \$____

Fiscal Year 2022 cohort - \$____

Recommendation:

The administration recommends the adoption of the fixed-rate tuition amounts associated with the respective fiscal year cohorts presented above for undergraduate students who enter the university during the 2018-19 fiscal year. The administration further recommends the fixed rates apply from the point of initial enrollment at a public or private institution for up to twelve semesters, with summer enrollment counting as one semester.

Report and Board Action on Agenda Item 25:

FY2019 ROOM AND BOARD RATES

Explanation:

Projected student housing and food service operating costs support the need for revised room and board rates for the 2019 fiscal year.

Pursuant to the relevant provisions of our food service contract, the administration and ARAMARK annually negotiate necessary rate increases for the upcoming fiscal year. Our contract uses the percentage increase in the Food and Beverage element of the Consumer Price Index (CPI) published by the Bureau of Labor Statistics, U. S. Department of Labor, for urban consumers ("CPI-U") in the South as a benchmark for any rate increase considered.

The proposed room and board rates for 2019 are presented in Appendix 2 and reflect a 1.9% increase in the board plans (excluding dining dollars) and a 2% increase in the general room rate with a specific enhanced rate for Hall 20 to fund significant on-going upgrades to that particular facility.

These revised rates will become effective for the fall semester of 2018.

Recommendation:

The administration recommends approval of a 1.9% increase for ARAMARK services and the proposed room and board rates for FY2019 as presented in Appendix 2.

Report and Board Action on Agenda Item 26:

ORACLE EXADATA SYSTEM PURCHASE

Explanation:

As part of the FY2018 Higher Education Fund (HEF) budget, \$652,000 was allocated for the replacement of our Oracle Exadata hardware systems that have reached their end of life. These systems provide the platform for Banner, our mission critical business, HR, and student information systems. Although the replacement of this hardware is a one-time event for the life cycle of the equipment, annual licensing and support fees are an on-going expense. During negotiations with Oracle regarding this replacement, the option to enter into a four-year agreement to install Oracle's "Cloud at Customer" instance of their Exadata solution with Offsite Backup became available. This option offers several advantages to the university. It allows us to avoid some of the annual license and maintenance costs during years two through four of the agreement while ensuring SFA will avoid future campus license increases due to increased enrollment during the term of the agreement. In addition, this solution provides offsite backup storage for our Oracle databases and allows SFA to use all of Oracle's database features, including Advanced Security, without any additional licensing costs. In aggregate, when comparing the on-going costs of the proposed four-year agreement to the projected cost of stand-alone annual Oracle licensing and support renewal over the same term, savings exceed \$695,000.

Recommendation:

The administration recommends entering into a four-year agreement with Oracle for the purchase of the Oracle Exadata Cloud at Customer System with Offsite Backup system and its associated maintenance fees at a cost not to exceed \$1,812,432. The source of funds for the capital elements of this system will be HEF and the source of funds for licensing and maintenance will be designated funds. The administration also requests that the president be authorized to sign all associated contracts and purchase orders.

Report and Board Action on Agenda Item 27:

APPROVAL OF THE 2016-17 ANNUAL FINANCIAL REPORT

Explanation:

As required by state law, Stephen F. Austin State University submitted the August 31, 2017, Annual Financial Report on November 20, 2017, 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, 2016, through August 31, 2017.

Recommendation:

The administration recommends approval of the Stephen F. Austin State University 2016-17 annual financial report.

Report and Board Action on Agenda Item 28:

RESOLUTION TO ACKNOWLEDGE REVIEW OF THE INVESTMENT POLICY AND STRATEGY

Explanation:

In accordance with Chapter 2256 of the Texas Government Code, the university's investment policy and strategy must be annually reviewed by the governing board of the institution. In addition, the law requires the governing body to adopt a written instrument by rule, order, ordinance, or resolution stating that it has reviewed the investment policy and strategy. The resolution, included in Appendix 3, acknowledges the board's annual review of Policy 3.21, Investments. Policy 3.21 is included in the Policy Revisions, Appendix 6.

Recommendation:

The administration recommends approval of the Resolution to Acknowledge Review of Investment Policy and Strategy as presented in Appendix 3.

Report and Board Action on Agenda Item 29:

RESOLUTION TO APPROVE QUALIFIED FINANCIAL INSTITUTIONS AND INVESTMENT BROKERS

Explanation:

Chapter 2256 of the Texas Government Code requires the university to adopt a resolution by the governing body of the institution that approves qualified investment brokers. The following financial institutions and brokers/investment managers are listed in the resolution, submitted in Appendix 4: Texas A&M University System, Bank of America, Wilmington Trust, N.A., Citizens 1st Bank, Austin Bank, BancorpSouth Bank, Commercial Bank of Texas NA, Southside Bank (Formerly Known as: First Bank and Trust), Regions Bank, Regions Morgan Keegan Trust, Huntington State Bank, Wells Fargo, US Bank, Texas Bank, Texpool, TexPool Prime, Texas Class, Texas Term, JPMorgan Chase & Co. and Texstar.

Recommendation:

The administration recommends approval of the financial institutions, investment managers and brokers presented in Appendix 4.

Report and Board Action on Agenda Item 30:

GRANT AWARDS RATIFICATION

Explanation:

During fiscal year 2018, the university has received multi-year grant awards totaling \$14,522,921, an increase of \$530,997 since the last report. Of this total, grant awards allocable to fiscal year 2018 are currently \$4,725,459, an increase of \$325,698 since the last report.

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

Recommendation:

The administration recommends approval and ratification of the additional fiscal year 2018 grant awards that total \$325,698. The grant awards are detailed in Appendix 5.

Report and Board Action on Action Item 31:

APPROVAL OF FINANCIAL AFFAIRS POLICY REVISIONS

Explanation:

The *Board Rules and Regulations* state that the Finance and Audit Committee will consider: budgeting and appropriations request processes; all requests for appropriations and budgets covering expenditures of educational and general funds and auxiliary programs including, but not limited to, student housing and the athletic department; handling of university funds, depositories, etc., whether from appropriated or contributed funds; and the auditing function of the university including, but not limited to, annual audit plan, internal and external audit reports, risk assessment, and audit/compliance issues.

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

Recommendation:

The administration recommends that the Board of Regents adopt the following policy revisions as presented in Appendix 6:

Historically Underutilized Businesses 17.7

Investments 3.21

Investments – Endowment Funds 3.20

Professional and Consulting Services 17.12

Purchase of Electronic and Information Resources 17.16

Purchase Requisition 17.19

Purchase Voucher 17.20

Risk Management 13.19

REPORTS

Report from the President

- Upcoming Dates
- Student Regent Applications
- Student Appointment to The Coordinating Board
- Lone Star Legislative Summit

**Baker
Pattillo**
President

Report from the Faculty Senate

- Senate Forums
- Academic Excellence
- Faculty Accomplishments

**Le'Ann
Solmonson**
Faculty
Senate Chair

Report from the Student Government Association:

- Extended Library Hours
- Parking Committee
- SGA Progress
- Spring Goals

**Jessie
Jenkins**
SGA
President

Report from Nominating Committee and
Election of Board Officers for 2018-2019

David
Alders
Chair

**Adjournment of Meeting
(Approximately 11:00 a.m.)**

**David
Alders
Chair**

**Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
October 20, 2017
Austin Building 307
Meeting 312**

A special meeting of the Board of Regents was called to order in open session at 1:04 p.m. on Friday, October 20, 2017, by Chair David Alders.

PRESENT:

Board Members: Mr. David Alders, Chair
 Mrs. Nelda Blair
 Dr. Scott Coleman
 Mr. Alton Frailey
 Mr. Bob Garrett
 Mrs. Brigettee Henderson
 Mr. Ken Schaefer
 Mr. Ralph Todd
 Ms. Maggie Wright, student member

President: Dr. Baker Pattillo

Vice-Presidents: Dr. Steve Bullard
 Dr. Danny Gallant
 Ms. Jill Still
 Dr. Steve Westbrook

General Counsel: Mr. Damon Derrick

Other SFA administrators, staff, and visitors

The meeting was recessed for committee meetings.

The Finance and Audit Committee convened at 1:04 p.m. and adjourned at 4:22 p.m.

The Board of Regents meeting returned to open session at 4: 22 p.m. and was adjourned by Chair Alders with no action taken.

**Stephen F. Austin State University
Minutes of the Meeting of the Board of Regents
Nacogdoches, Texas
October 22 and 23, 2017
Austin Building 307
Meeting 313**

Sunday, October 22, 2017

The regular meeting of the Board of Regents was called to order in open session at 1:12 p.m. on Sunday, October 22, 2017, by Chair David Alders.

PRESENT:

Board Members: Mr. David Alders, Chair
 Mrs. Nelda Blair
 Dr. Scott Coleman
 Mr. Alton Frailey
 Mr. Bob Garrett
 Mrs. Brigettee Henderson
 Mr. Ken Schaefer
 Mr. Ralph Todd
 Ms. Maggie Wright, student member

President: Dr. Baker Pattillo

Vice-Presidents: Dr. Steve Bullard
 Dr. Danny Gallant
 Ms. Jill Still
 Dr. Steve Westbrook

General Counsel: Mr. Damon Derrick

Other SFA administrators, staff, and visitors

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

Consultation with Attorney Regarding Legal Advice or Pending and/or Contemplated Litigation or Settlement Offers, including but not limited to compliance, faculty code of conduct, reported complaints, Title IX, EEOC charges, intellectual property and *Courtney Christensen v. SFASU* (Gov't Code 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 athletic director, the executive director of enrollment management, the chief information officer, vice presidents, and the president (Gov't Code 551.074)

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

Deliberations Regarding Negotiated Contracts for Prospective Gifts or Donations (Texas Government Code, Section 551.073)

Deliberations Regarding the Deployment, or Specific Occasions for Implementation, of Security Personnel or Devices (Gov't Code 551.076)

- Report from interim chief information officer
- Information technology security assessment

The executive session ended at 8:12 p.m., the meeting returned to open session and recessed for the evening with no further action.

Monday, October 23, 2017

The regular meeting of the Board of Regents was reconvened in open session at 9:02 a.m. on Monday, October 23, 2017, by Chair David Alders.

PRESENT:

Board Members: Mr. David Alders, Chair
 Mrs. Nelda Blair
 Dr. Scott Coleman
 Mr. Alton Frailey
 Mr. Bob Garrett
 Mrs. Brigettee Henderson
 Mr. Ken Schaefer
 Mr. Ralph Todd
 Ms. Maggie Wright, student member

President: Dr. Baker Pattillo

Vice-Presidents: Dr. Steve Bullard
 Dr. Danny Gallant
 Ms. Jill Still
 Dr. Steve Westbrook

General Counsel: Mr. Damon Derrick

Other SFA administrators, staff, and visitors

Regent Henderson led the pledges to the flags and Regent Coleman offered the invocation.

Dr. Westbrook recognized the Freshmen Leadership Academy and introduced faculty leadership and members of the group. Dr. Bullard introduced the six faculty members who are currently spotlighted on the SFA website. Jill Still recognized Jimmy Mize, chair of the SFASU Foundation and Dr. Mike Harbordt, chair of the SFA Alumni Foundation.

The meeting was recessed for committee meetings.

The Finance and Audit Committee convened at 9:48 a.m. and adjourned at 9:55 a.m. The Building and Grounds Committee meeting convened at 9:55 a.m. and adjourned at 10:07 a.m. The Academic and Student Affairs Committee convened at 10:07 a.m. and adjourned at 11:59 a.m.

The Board of Regents meeting returned to open session at 11:59 a.m., recessed for lunch, and then reconvened at 1:03 p.m.

APPROVAL OF MINUTES

BOARD ORDER 18-01

Upon motion by Regent Schaefer, seconded by Regent Todd, with all members voting aye, it was ordered that the minutes of the July 23, 24 and 25, 2017, regular board meeting be approved as presented.

PERSONNEL

BOARD ORDER 18-02

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

FACULTY APPOINTMENTS

COLLEGE OF BUSINESS

Nicole Brantley, M.P.A. (Stephen F. Austin State University), Visiting Lecturer of Accounting, at an academic year salary of \$50,000 for 100 percent time, effective September 1, 2017.

Alan Campbell, Ph.D. (University of North Texas), Assistant Professor of Accounting, at an academic year salary of \$135,000 for 100 percent time, effective September 1, 2017.

Pamela Rogers, Ph.D. (University of North Texas), Assistant Professor of Management and Marketing, at an academic year salary of \$108,000 for 100 percent time, effective September 1, 2017.

Gerald Scott, M.B.A. (Houston Baptist University), Lecturer of Management and Marketing, at an academic year salary of \$47,000 for 100 percent time, effective September 1, 2017.

Stephen Shrewsbury, L.L.M. (U.S. Army Judge Advocate General's School), Assistant Professor of Business Communication and Legal Studies, at an academic year salary of \$80,000 for 100 percent time, effective September 1, 2017.

COLLEGE OF EDUCATION

Jillian Dawes, M.S. (Oklahoma State University), Assistant Professor of Human Services, at an academic year salary of \$62,000 for 100 percent time, effective September 1, 2017.

Donna Fickes, Ph.D. (Texas Tech University), Clinical Instructor of Human Sciences, at an academic year salary of \$65,000 for 100 percent time, effective September 1, 2017.

Jeffrey Forsse, M.S. (University of Louisiana), Instructor of Kinesiology and Health Science, at an academic year salary of \$57,000 for 100 percent time, effective September 1, 2017.

Marym Lakhani, M.S. (Des Moines University), Visiting Lecturer of Kinesiology and Health Science, at an academic year salary of \$46,500 for 100 percent time, effective September 1, 2017.

Michael Lemke, Ph.D. (Wichita State University), Assistant Professor of Kinesiology and Health Science, at an academic year salary of \$60,000 for 100 percent time, effective September 1, 2017.

Ronda McClain, M.Ed. (Stephen F. Austin State University), Lecturer of Elementary Education, at an annual salary of \$62,000 for 100 percent time, effective September 1, 2017.

Deena Petersen, M.S. (University of Southern Mississippi), Clinical Instructor of Human Services, at an academic year salary of \$56,000 for 100 percent time, effective September 1, 2017.

Raul Prezas, Ph.D. (Wichita State University), Associate Professor of Human Services, at an academic year salary of \$75,000 for 100 percent time, effective September 1, 2017.

Sharon Rice, M.Ed. (Stephen F. Austin State University), Visiting Lecturer of Kinesiology and Health Science, at an academic year salary of \$50,000 for 100 percent time, effective September 1, 2017.

Brian Uriegas, Ed.D. (Texas A&M University, Kingsville), Assistant Professor of Secondary Education, at an academic year salary of \$55,000 for 100 percent time, effective September 1, 2017.

MELINDA WATTS, Ph.D. (ROCKY MOUNTAIN UNIVERSITY OF HEALTH PROFESSIONS), ASSISTANT PROFESSOR OF KINESIOLOGY AND HEALTH SCIENCE, AT AN ACADEMIC YEAR SALARY OF \$57,000 FOR 100 PERCENT TIME, EFFECTIVE SEPTEMBER 1, 2017.

COLLEGE OF FINE ARTS

Samantha Inman, Ph.D. (University of Rochester), Assistant Professor of Music, at an academic year salary of \$55,000 for 100 percent time, effective September 1, 2017.

Kristin Lyman, Ph.D. (Texas Tech University), Assistant Professor of Music, at an academic year salary of \$52,000 for 100 percent time, effective September 1, 2017.

Michael Murphy, Ph.D. (Florida State University), Associate Professor of Music, at an academic salary of \$70,000 for 100 percent time, effective September 1, 2017.

Kenneth Verdugo, M.F.A. (University of California), Visiting Assistant Professor of Theatre, at an academic year salary of \$50,000 for 100 percent time, effective September 1, 2017.

Jacob Walburn, D.M.A. (University of Illinois), Assistant Professor of Music, at an academic year salary of \$56,000 for 100 percent time, effective September 1, 2017.

COLLEGE OF FORESTRY AND AGRICULTURE

Candis Carraway, Ph.D. (Texas Tech University), Assistant Professor of Agriculture, at an 11-month salary of \$70,000 for 100 percent time, effective September 1, 2017.

Frantisek Majis, Ph.D. (University of Georgia), Assistant Professor of Agriculture and Director of Soil, Plant and Water Analysis Laboratory, at an annual salary of \$80,000 for 100 percent time, effective September 1, 2017.

Christopher Schalk, Ph.D. (Texas A&M University), Assistant Professor of Forestry, at an academic year salary of \$55,000 for 100 percent time, effective September 1, 2017.

College of Liberal and Applied Arts

Long Bui, Ph.D. (University of Illinois, Urbana-Champaign), Lecturer of History, at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

Hunter Hampton, Ph.D. (University of Missouri), Lecturer of History, at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

Meta Henty, M.A. (Texas Christian University), Visiting Lecturer of English and Creative Writing, at an academic year salary of \$ 42,000 for 100 percent time, effective September 1, 2017.

Catherine Huh, Ph.D. (University of California), Lecturer of Languages, Cultures and Communication, at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

Laurie Lawrence, M.A. (Edinboro University), Lecturer of Languages, Cultures and Communication, at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

Paul Shockley, Ph.D. (Texas A&M University), Lecturer of Multidisciplinary Studies, at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

Diane Sizemore, M.S.W. (Stephen F. Austin State University), Lecturer of Social Work and Program Director of Child Welfare Professional Development Project and Title IV Stipend Program, at an annual salary of \$52,000 for 100 percent time, effective September 1, 2017.

Bailey Thompson, Ph.D. (Texas Tech University), Assistant Professor of Mass Communication, at an academic year salary of \$55,000 for 100 percent time, effective September 1, 2017.

Robert Velez, Ph.D. (Southern Illinois University), Lecturer of Government, at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

Michael Welsh, M.A. (University of Texas), Visiting Assistant Professor of Languages, Cultures and Communication, at an academic year salary of \$50,000 for 100 percent time, effective September 1, 2017.

COLLEGE OF SCIENCES AND MATHEMATICS

James Adams, Ph.D. (Texas A&M University), Assistant Professor of Physics, Engineering and Astronomy, at an academic year salary of \$60,000 for 100 percent time, effective September 1, 2017.

Brittney Falahola, Ph.D. (University of Nebraska, Lincoln), Assistant Professor of Mathematics and Statistics, at an academic year salary of \$54,500 for 100 percent time, effective September 1, 2017.

John Gary, Ph.D. (University of Michigan), Assistant Professor of Chemistry and Biochemistry, at an academic year salary of \$58,200 for 100 percent time, effective September 1, 2017.

Debra Gibbs, D.N.P. (Duquesne University), Assistant Professor of Nursing, at an academic year salary of \$61,500 for 100 percent time, effective September 1, 2017.

Dae Glendowne, Ph.D. (Mississippi State University), Assistant Professor of Computer Science, at an academic year salary of \$84,000 for 100 percent time, effective September 1, 2017.

Xiaozhen Han, Ph.D. (Baylor University), Assistant Professor of Chemistry and Biochemistry, at an academic year salary of \$58,200 for 100 percent time, effective September 1, 2017.

Ryan Jensen, B.S. (Brigham Young University), Assistant Professor of Mathematics and Statistics, at an academic year salary of \$54,500 for 100 percent time, effective September 1, 2017.

Catherine Kwiatkowski, M.S. (Arizona State University), Lecturer of Chemistry and Biochemistry, at an academic year salary of \$50,000 for 100 percent time, effective September 1, 2017.

Laurel Matthews, B.S.N. (Stephen F. Austin State University), Clinical Instructor of Nursing, at an academic year salary of \$45,000 for 100 percent time, effective September 1, 2017.

Puntitra Sawadpong, Ph.D. (Mississippi State University), Visiting Assistant Professor of Computer Science, at an academic year salary of \$74,000 for 100 percent time, effective September 1, 2017.

Jacob Turner, Ph.D. (Southern Methodist University), Assistant Professor of Mathematics and Statistics, at an academic year salary of \$55,000 for 100 percent time, effective September 1, 2017.

STAFF APPOINTMENTS

ATHLETICS

Rebecca Alvidrez, Assistant Coach of Women's Basketball, at an annual salary of \$71,400 for 100 percent time, effective June 29, 2017.

Manual Bolanos, Assistant Director of Athletic Media Relations, at an annual salary of \$40,000 for 100 percent time, effective July 18, 2017.

Tyler Boone, Director of Athletic Development, at an annual salary of \$53,580 for 100 percent time, effective September 4, 2017.

Caleb Clowers, Assistant Coach of Men's Baseball, at an annual salary of \$39,602 for 100 percent time, effective July 12, 2017.

Daniel DeLuca, Assistant Coach of Women's Golf, at an annual salary of \$33,427 for 100 percent time, effective August 23, 2017.

Kailee May, Assistant Coach of Volleyball, at an annual salary of \$33,000 for 100 percent time, effective July 17, 2017.

Kevin Meyer, Assistant Director of Athletic Media Relations, at an annual salary of \$36,516 for 100 percent time, effective July 24, 2017.

CAMPUS RECREATION

Walter Seaton, Campus Recreation Coordinator, at an annual salary of \$33,500 for 100 percent time, effective September 18, 2017.

COLLEGE OF FINE ARTS

Hsin-l Huang, Music Accompanist, at an academic year salary of \$40,000 for 100 percent time, effective September 11, 2017.

Huyn Oh, Music Accompanist, at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

LIBRARY

Melissa Clark, Librarian III, at an annual salary of \$53,000 for 100 percent time, effective July 10, 2017.

Cheryl Janusa, Program Director of Academic Assistance Resource Center, at an annual salary of \$46,800 for 100 percent time, effective August 2, 2017.

Michael Johnson, Program Director of Academic Assistance Resource Center, at an annual salary of \$46,800 for 100 percent time, effective August 23, 2017.

Alexandra Schutz, Librarian II, at an annual salary of \$47,000 for 100 percent time, effective July 17, 2017.

RESIDENCE LIFE

Taylor Anderson, Hall Director, at an annual salary of \$29,735 for 100 percent time, effective August 22, 2017.

CHANGES OF STATUS

ACADEMIC AFFAIRS

John Calahan, from Coordinator of Academic Space Scheduling and Utilization at an annual salary of \$59,316 for 100 percent time, to Coordinator of Academic Space Scheduling and Utilization and Interim Director of Institutional Assessment at an annual salary of \$59,316 for 100 percent time, with an additional stipend of \$1,000 per month for 12 months for the interim assignment, effective September 1, 2017.

ATHLETICS

Adler Augustin, from Assistant Coach of Volleyball at an annual salary of \$33,000 for 100 percent time, to Assistant Coach of Volleyball at an annual salary of \$43,067 for 100 percent time, effective July 15, 2017.

James Haynes, from Assistant Coach of Baseball at an annual salary of \$39,602 for 100 percent time, to Assistant Coach of Baseball at an annual salary of \$45,842 for 100 percent time, effective July 11, 2017.

Charles Hurley, from Assistant Director of Athletic Media Relations at an annual salary of \$38,872 for 100 percent time, to Director of Athletic Media Relations at an annual salary of \$54,067 for 100 percent time, effective July 4, 2017.

Emily Montana, from Athletic Trainer at an annual salary of \$44,472 for 100 percent time, to Athletic Trainer with a change in job assignment at an annual salary of \$55,000 for 100 percent time, effective August 1, 2017.

Kira Rubin, from Assistant Athletic Trainer at an annual salary of \$23,462 for 48 percent time, to Athletic Trainer at an annual salary of \$44,472 for 100 percent time, effective August 1, 2017.

COLLEGE OF BUSINESS

Robert Crocker, from Professor and Chair of Management and Marketing at an 11-month salary of \$138,148 for 100 percent time, to Professor and Associate Dean of the College of Business, at an annual salary of \$162,000 for 100 percent time, effective September 1, 2017.

Manuel Guerrero, from Manager of Vendor Relations in Property and Procurement Services at an annual salary of \$50,550 for 100 percent time, to Lecturer in Business Communication and Legal Studies, at an academic year salary of \$47,000 for 100 percent time, effective September 1, 2017.

Matthew Lindsey, from Associate Professor of Management and Marketing at an academic year salary of \$108,172 for 100 percent time, to Associate Professor and Chair of Management and Marketing at an 11-month salary of \$137,500 for 100 percent time, effective September 1, 2017.

Kelly Noe, from Associate Professor of Accounting at an academic year salary of \$128,511 for 100 percent time, to Associate Professor and Chair of Accounting at an 11-month salary of \$155,000 for 100 percent time, effective September 1, 2017.

Laurie Rogers, from Adjunct Faculty in Business Communication and Legal Studies at a 4.5-month salary of \$20,000 for 100 percent time, to Visiting Assistant Professor of Business Communication and Legal Studies, at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

Shirley Ann Wilson, from Associate Dean of Business at an annual salary of \$163,667 for 100 percent time, to Professor of Business Communication and Legal Studies at an academic year salary of \$97,000 for 100 percent time, effective September 1, 2017.

COLLEGE OF EDUCATION

Alison Cope, from Adjunct Faculty in Secondary Education and Educational Leadership at a 3.5-month salary of \$2,500 for 25 percent time, to Visiting Lecturer of Secondary Education and Educational Leadership at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

Troy Davis, from Professor of History and Interim Chair of Secondary Education and Educational Leadership, at an academic year salary of \$82,216 for 100 percent time, with an additional stipend of \$1,000 per month for interim duties through May 31, 2018, to Professor of History and Interim Chair of Secondary Education and Educational Leadership, at an academic year salary of \$82, 216 for 100 percent time, with a stipend for interim duties of \$1,000 per month for an additional three months, effective June 1, 2018.

Elizabeth Gound, from Visiting Instructor of Secondary Education and Educational Leadership at an academic year salary of \$43,378 for 100 percent time, to Instructor of Elementary Education at an academic year salary of \$55,000 for 100 percent time, effective September 1, 2017.

Leonard Thornton, from Associate Professor of Kinesiology and Health Science at an academic year salary of \$65,981 for 100 percent time, to Associate Professor and Chair of Kinesiology at an annual salary of \$113,000 for 100 percent time, effective July 1, 2017.

Robyn Whitehead, from Adjunct Faculty in Kinesiology and Health Science at a 4.5-month salary of \$12,000 for 100 percent time, to Visiting Assistant Professor of Kinesiology and Health Science at an academic year salary of \$54,000 for 100 percent time, effective September 1, 2017.

COLLEGE OF FINE ARTS

Stephanie Murphy, from Visiting Assistant Professor of Theatre at an academic year salary of \$47,000 for 100 percent time, to Assistant Professor of Theatre at an academic year salary of \$50,000 for 100 percent time, effective September 1, 2017.

COLLEGE OF LIBERAL AND APPLIED ARTS

Lisa Bentley, from Visiting Lecturer of History at an academic year salary of \$40,000 for 100 percent time, to Lecturer of History at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

Suparna Chakraborty, from Adjunct Faculty in History at a 4.5-month salary of \$11,000 for 100 percent time, to Lecturer in History at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

Peyton Gooch, from Adjunct Faculty in Government at a 4.5-month salary of \$12,000 for 100 percent time, to Lecturer in Government at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

Sheila Jones, from Adjunct Faculty in English and Creative Writing at a 4.5-month salary of \$11,600 for 100 percent time, to Lecturer in English and Creative Writing at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

Eralda Lameborshi, from Adjunct Faculty in English and Creative Writing at a 4.5-month salary of \$11,000 for 100 percent time, to Lecturer in English and Creative Writing at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

Billy Longino, from Adjunct Faculty in English and Creative Writing at a 4.5-month salary of \$13,750 for 100 percent time, to Visiting Assistant Professor in English and Creative Writing at an academic year salary of \$46,000 for 100 percent time, effective September 1, 2017.

Aaron Milstead, from Adjunct Faculty in English and Creative Writing at a 4.5-month salary of \$12,400 for 100 percent time, to Lecturer in English and Creative Writing at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

Dylan Parkhurst, from Adjunct Faculty in English and Creative Writing at a 4.5-month salary of \$12,400 for 100 percent time, to Lecturer in English and Creative Writing at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

Thomas Reynolds, from Visiting Lecturer in Languages, Cultures and Communication at an academic year salary of \$40,000 for 100 percent time, to Lecturer in Languages, Cultures and Communication at an academic year salary of \$40,000 for 100 percent time, effective September 1, 2017.

Charles White, from Adjunct Faculty in Psychology at a 4.5-month salary of \$5,500 for 50 percent time, to Visiting Instructor of Psychology at an academic year salary of \$47,000 for 100 percent time, effective September 1, 2017.

COLLEGE OF SCIENCES AND MATHEMATICS

Lorna DeSha, from Graduate Teaching Assistant in Mathematics and Statistics at an academic year salary of \$12,500 for 50 percent time, to Lecturer in Mathematics and Statistics at an academic year salary of \$45,000 for 100 percent time, effective September 1, 2017.

Hazel Kimbrough, from Adjunct Faculty in the School of Nursing at a 4.5-month salary of \$7,750 for 50 percent time, to Clinical Instructor of Nursing at an annual salary of \$60,000 for 100 percent time, effective September 1, 2017.

Rebecca Self, from Assistant Coordinator of Simulation Lab in the School of Nursing at an annual salary of \$42,635 for 100 percent time, to Coordinator of Simulation Lab in the School of Nursing at an annual salary of \$50,000 for 100 percent time, effective September 1, 2017.

INFORMATION TECHNOLOGY SERVICES

Michael Coffee, from Assistant Director of Information Technology Services (Networking/Telecommunications) at an annual salary of \$88,764 for 100 percent time, to Interim Chief Information Officer at an annual salary of \$88,764 for 100 percent time, with an additional stipend of \$1,500 per month for 12 months for interim duties, effective September 1, 2017.

LIBRARY

Theunis Oliphant, from Lecturer of Management and Marketing at an academic year salary of \$47,000 for 100 percent time, to Technology Program Coordinator in Center for Teaching and Learning at an annual salary of \$48,000 for 100 percent time, effective August 28, 2017.

OFFICE OF THE CONTROLLER

Patricia Ashworth, from Teller Supervisor at an annual salary of \$37,367 for 100 percent time, to Assistant Bursar at an annual salary of \$53,000 for 100 percent time, effective September 1, 2017.

Pamela Corman, from Assistant Bursar at an annual salary of \$54,348 for 100 percent time, to Bursar at an annual salary of \$70,000 for 100 percent time, effective September 1, 2017.

RESEARCH AND SPONSORED PROGRAMS

Jennifer Hanlon, from Assistant Director of Research and Sponsored Programs at an annual salary of \$77,499 for 100 percent time, to Interim Director of Research and Sponsored Programs at an annual salary of \$77,499 for 100 percent time, with an additional stipend of \$750 per month for 12 months for interim duties, effective September 1, 2017.

STUDENT AFFAIRS SUPPORT SERVICES

Jennifer Klingenberg, from Counselor at an annual salary of \$42,864 for 100 percent time, to Counselor at a 10-month salary of \$35,720 for 100 percent time, effective September 1, 2017.

STUDENT SERVICES

Gavin McCarty, from Manager of Post Office and Interim Director of Printing and Postal Services at an annual salary of \$46,512 for 100 percent time, to Director of Printing and Postal Services at an annual salary of \$62,000 for 100 percent time, effective September 1, 2017.

FACULTY DEVELOPMENT LEAVE

Faculty development was approved for Aryendra Chakravartty, Department of History, effective spring 2018 for one semester.

RETIREMENTS

The following retirements were accepted:

Tim King, Professor of Music, effective July 31, 2017, with 22 years of service.

Kenneth Patterson, Lecturer of Mass Communications, effective July 31, 2017, with 28 years of service.

Roger Dale Perritt, Professor of Agriculture, effective August 31, 2017, with 36 years of service.

Jeffrey Watson, Technology Program Coordinator for the Center for Teaching and Learning, effective August 31, 2017, with 17 years of service.

Bobby Williams, Bursar in the Office of the Controller, effective August 31, 2017, with 22 years of service.

ACADEMIC AND STUDENT AFFAIRS

BOARD ORDER 18-03

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

INTERCOLLEGIATE ATHLETIC POLICIES AND PROCEDURES MANUAL REVISIONS

The revisions to the Athletic Policies and Procedures Manual were approved as presented in Appendix 1.

CONSIDERATION OF CURRICULUM CHANGES

The Board of Regents approved the undergraduate and graduate curriculum changes listed below to be effective for fall 2018.

New Degree Programs:

BS in Food and Nutrition
Department of Human Sciences
James I. Perkins College of Education

BS in Human Services
Department of Human Services
James I. Perkins College of Education

BS in Criminal Justice
Department of Government
College of Liberal and Applied Arts

BA in Intercultural Communication
Department of Languages, Cultures and Communication
College of Liberal and Applied Arts

MA in Publishing
Division of Multidisciplinary Studies
College of Liberal and Applied Arts

Online Delivery:

BA and BS in Public Administration
Department of Government
College of Liberal and Applied Arts

BA and BS in Communication Studies
Department of Languages, Cultures and Communication
College of Liberal and Applied Arts

BA in Intercultural Communication
Department of Languages, Cultures and Communication
College of Liberal and Applied Arts

CONSIDERATION OF MEMORANDUM OF UNDERSTANDING BETWEEN SFA AND THE SFA ALUMNI ASSOCIATION

WHEREAS, the board members considered the following: University policy and state law require the university to enter into a written agreement with any private support organization that exists to further the university's purposes and duties. The university's existing agreement with the SFA Alumni Association was last approved in 2013. Meetings and discussions have been held proposing updates in the agreement to reflect the current understandings between the parties.

THEREFORE, the Board of Regents approved the updated Memorandum of Agreement between Stephen F. Austin State University and the Stephen F. Austin State University Alumni Association as presented in Appendix 2 and authorized the president to sign the final agreement.

CONSIDERATION OF MEMORANDUM OF UNDERSTANDING BETWEEN SFA AND THE SFASU FOUNDATION, INC.

WHEREAS, the board members considered the following: University policy and state law require the university to enter into a written agreement with any private support organization that exists to further the university's purposes and duties. The university's existing agreement with the Stephen F. Austin State University Foundation, Inc. was last approved in 2006. Meetings and discussions have been held proposing updates in the agreement to reflect the current understandings between the parties.

THEREFORE, the Board of Regents approved the updated Memorandum of Agreement between Stephen F. Austin State University and Stephen F. Austin State University Foundation, Inc. as presented in Appendix 3 and authorized the president to sign the final agreement.

APPROVAL OF ACADEMIC AND STUDENT AFFAIRS POLICY REVISIONS

The Board of Regents adopted the following policy revisions as presented in Appendix 6:

Accessibility for Persons with Disabilities 2.2

Concurrent and Dual Credit Enrollment Programs 6.9
Information Security Management 14.1
Student Organization Formation and Recognition 10.9
Tuition Rebate 6.21
University Logo and Seal 15.6

BUILDING AND GROUNDS

BOARD ORDER 18-04

Upon motion by Regent Garrett, seconded by Regent Todd, with all members voting aye, it was ordered that the following Building and Grounds items be approved.

ELECTRICAL INFRASTRUCTURE REPAIR

WHEREAS, the board members considered the following: On September 11 and 12, 2017, failed electrical infrastructure components resulted in campus electrical outages. The failures included one of three main circuit breakers in the electrical substation, 300 feet of an underground main transmission line from the substation to a switch gear, and a transformer located in the Griffith and Kerr Power Plant. The university mobilized on and off campus participants and repaired necessary components to restore electrical power to the campus as quickly as possible.

The first phase of the infrastructure repair included the replacement of a transformer and related equipment in the Griffith and Kerr Power Plant at a cost of \$36,692. The next phase included a plan to temporarily shut down electrical power to campus and install a new main transmission line. Efforts to replace the 300 feet of underground main transmission line through the existing electrical duct bank were unsuccessful. Because of the inability to use the existing duct bank, it is necessary to install a new one. Replacement equipment has been ordered, and delivery is expected in January 2018.

THEREFORE, the electrical infrastructure project was approved to include the first two phases and the remaining portion for a total project cost not to exceed \$275,000, using auxiliary and designated funds. The president was authorized to sign associated purchase orders and contracts.

SEWER LINE REPLACEMENT PROJECT

WHEREAS, the board members considered the following: In August 2017 a sanitary sewer line serving the southern portion of campus became blocked. The blockage was determined to be located underneath the tennis courts and remediation efforts restored a temporary drainage flow. The tennis courts are constructed using post tension stressed cables within the slab. The depth of the line and tennis court slab construction indicate a reroute of the sewer line is the appropriate way to resolve the drainage problem.

THEREFORE, the project was approved to install approximately 950 feet of new sewer line from the Tennis Pavilion across Wilson Street to the city sewer main located in the intramural fields at a

cost not to exceed \$200,000 using auxiliary and designated funds. The old line will be plugged and abandoned. The president was authorized to sign associated purchase orders and contracts.

ISSUANCE OF RFQ FOR SELECTION OF ARCHITECTURAL FIRM TO DEVELOP PROGRAMMING FOR ATHLETIC FACILITY RENOVATIONS

WHEREAS, the board members considered the following: The SFA Campus Master Plan 2020 addresses the development of renovations to facilities that serve the Intercollegiate Athletics program. Before further consideration can be given to these elements of the master plan, architectural programming must be conducted. The development of detailed plans, similar to the plans recently developed for the proposed Performing Arts Center complex, will assist with seeking external funding as part of the projected launch of an institutional capital campaign.

THEREFORE, it was approved for the university to issue a request for qualifications (RFQ) seeking an architectural firm to develop programming for athletic facility renovations. Finalists will be presented to the board for final selection. The source of funds for this project will be designated funds. The president was authorized to sign all associated contract(s) and purchase orders.

FINANCIAL AFFAIRS

BOARD ORDER 18-05

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

SELECTION OF A COMPREHENSIVE FUNDRAISING CAMPAIGN CONSULTANT FIRM

WHEREAS, the board members considered the following: At the July 25, 2017, meeting, the Board of Regents authorized the university to solicit bid proposals for a campaign consultant to provide professional counsel and guidance in launching and managing a comprehensive fundraising campaign.

A request for proposals (RFP) was issued, and respondents were evaluated and ranked by a review committee. The finalists selected were Bentz Whaley Flessner, Dini Spheris, and Gonser Gerber. These three firms made presentations to the Finance and Audit Committee on Friday, October 20, 2017.

THEREFORE, Bentz Whaley Flessner was selected from the presentation finalists as the most qualified firm to serve as fundraising campaign consultants to the university at a cost not to exceed \$458,000. Designated funds will be used for the selected firm's consultant fees. The president was authorized to sign associated contracts and purchase orders.

BOARD ORDER 18-06

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

ACKNOWLEDGE RECEIPT OF AUDIT SERVICES REPORT

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

- JAMP Grant Audit
- Contract Management Audit
- School of Art Departmental Audit
- Controller's Office Departmental Audit
- Elementary Education Departmental Audit
- Update on Audit Plan

APPROVAL OF ANNUAL AUDIT REPORT

The annual audit report for 2016-17 was approved as presented.

AGREEMENT FOR INFORMATION TECHNOLOGY AUDIT SERVICES

WHEREAS, the board members considered the following: The university seeks to enter an agreement with a firm that has extensive information technology experience with audit services and expertise in identifying and evaluating general and application controls and risks in information technology and client-server environments including operating systems, application software, databases, telecommunications, and imaging systems. Audit areas may include but are not limited to the following: Information Technology (IT) Administration and Management; Network Infrastructure Administration and Support; Information System and Database Administration and Support; Application Development and Maintenance (Information Systems Support); Information Security Management; and Information Systems Architecture. The State Auditor's Office delegation of audit authority has been obtained as required. Requests for qualifications (RFQ) were issued and respondents were evaluated and ranked by a review committee.

THEREFORE, the Board of Regents authorized the administration to enter into an agreement with Myers and Stauffer for information technology audit services for up to \$200,000 with the president authorized to sign the contracts and associated documents. The source of funds is designated tuition.

LEARNING MANAGEMENT SYSTEM UPGRADE

WHEREAS, the board members considered the following: D2L is the current Learning Management System (LMS) for SFA. The LMS is a software application for the administration, documentation, tracking, reporting and delivery of educational courses online. The current contract with D2L expires on December 17, 2017. Contract renewal this year requires a software upgrade and implementation for a required transition from on premise (SFA) hosting to cloud hosting with D2L.

The Center for Teaching and Learning reviewed multiple LMS solutions. After reviews of various system bids, the implementation team and Distance Education Committee elected to renew with D2L and upgrade into the cloud environment on a five-year contract.

The D2L cloud-based system allows secure online access to students, faculty, and employees of SFA. Functions of the system include course creation, lesson management, testing, grading, and communication tools. In addition, the system will provide predictive analytics functionality, student success tracking, adaptive learning, and added support. The five-year contract cost of the cloud-based updated D2L system totals \$1,200,000.

THEREFORE, the administration was authorized to contract with D2L for a learning management system and associated maintenance costs for a period of five years, through December 17, 2022, at a cost not to exceed \$1,200,000. Designated funds will be used for the purchase. The president was authorized to sign the associated contract and purchase order(s).

HUMAN RESOURCES APPLICANT TRACKING AND ONBOARDING SYSTEM SERVICE AND CONTRACT AMENDMENT:

WHEREAS, the board members considered the following: At the April 25, 2017, meeting, the Board of Regents approved a human resources applicant tracking and onboarding system with PeopleAdmin at a three-year contract cost of \$115,506. However, during implementation, it was discovered that certain components the university had expected to receive were not included in the system delivery.

The university had requested system capability to import data from our current Banner system to PeopleAdmin. Management contacted the company and expressed concern with the system delivery. As a result of the omission, PeopleAdmin agreed to provide the system import functionality at a 50% reduced rate. The additional cost of the necessary functionality will be \$1,000 with an additional annual \$1,000 maintenance cost.

The second component is a security concern regarding the authentication method from the PeopleAdmin cloud software to the institutional computing system. The implementation cost at a 50% discount will be \$1,000, coupled with an additional \$500 annual maintenance cost.

THEREFORE, it was approved that PeopleAdmin contract be amended to include the implementation and additional yearly maintenance costs needed to add user imports and system security authentication. This will increase the total costs for PeopleAdmin over the original three-year term from \$115,506 to \$122,006. Designated funds will be used for the purchase. The president was authorized to sign the associated contract addendum and purchase order(s).

COURSE AND LAB FEE DELETIONS FY 2017-18

The course and lab fee deletions effective fall 2017 were approved as shown in Appendix 4.

APPROVAL OF THE 2017-2018 MARKETING CAMPAIGN CONTRACT

WHEREAS, the board members considered the following: Richards Carlberg presented the proposed 2017-2018 marketing campaign concept and budget at the July 24, 2017 meeting of the Board of Regents. The Board of Regents approved the fiscal year 2018 budget, which contains \$930,791.71 for the 2017-18 marketing initiative.

THEREFORE, the 2017-2018 marketing campaign was approved as presented by Richards Carlberg at the July 24, 2017 meeting at a cost not to exceed \$930,791.71, and the president was authorized to sign associated contracts or agreements. The source of funds is designated funds.

GRANT AWARDS

WHEREAS, the board members considered the following: In fiscal year 2017, the university received multi-year grant awards totaling \$16,753,322. Of that total, grants awarded allocable to fiscal year 2017 were \$7,279,288, an increase of \$98,726 since the last report.

For fiscal year 2018, the multi-year grant award total is currently \$13,962,284. Of this total, grant awards allocable to fiscal year 2018 are currently \$4,399,761.

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, approval and ratification was given to the additional fiscal year 2017 grant awards that total \$98,726, and grant awards for fiscal year 2018 that total \$4,399,761, as detailed in Appendix 5.

APPROVAL OF FINANCIAL AFFAIRS POLICY REVISIONS

The following policy revisions were adopted as presented in Appendix 6:

Check Cashing 3.7

Environmental Management 13.26

Gift Reporting 3.16

Gifts, Prizes and Awards 3.18

Travel Card 3.30

REPORTS

Bob Garrett gave a report from the Intercollegiate Athletic Advisory Committee. The committee members are: Regent Blair, Regent Coleman, Regent Henderson, Joe Max Green, Trey Henderson, Karl Lindekugel, and Jim Perkins. Regent Alders serves ex officio. Staff members participating in the meetings are Baker Pattillo, Robert Hill, John Branch, Jill Still and Steve Westbrook. The committee has met twice, has toured the coliseum and the field house, and has heard numerous presentations and studied data provided by the staff. Their current recommendations are to support an RFQ for a facility study, to investigate an online ticketing system, and to study how best to leverage current programs to achieve the university's adopted strategic goals. The committee will

next focus on the basketball program with the highly achievable goal of dominating the Southland Conference, resulting in more participation in post-season play in the NCAA Basketball Tournament. All the current data indicates a very positive impact from such post-season appearances in the past on social media, website traffic, donor numbers and giving, and alumni relations.

Chair Alders gave a report from the Nacogdoches-SFA Joint Economic Development Committee. Members originally named were Regent Frailey, Dr. Todd Brown, Jim Jeffers, and Marissa Philpot. Other members have been added; they are Dr. Joe Shannon, Jimmy Mize, and Wayne Mitchell. The committee has met three times and has discussed ways to develop more internship opportunities in the community for SFA students to obtain career skills and business experience, ways to collaborate with academic areas of the university in pursuing grants to improve the city airport, and the possible development of a performance venue that would benefit the community and the university.

The president provided a report to the regents on the following topics:

- Upcoming Dates
- SFA Gala
- Fall Commencement
- New Regents

Ms. Le'Ann Solmonson, faculty senate chair, gave a report on the following topics:

- Faculty Accomplishments
- Senate Task Force
- Faculty Morale

Nikki Wood, SGA vice president, gave a report on the following topics:

- Watermelon Bash
- SGA Retreat
- Legislative Agenda
- SGA Week

Chair Alders announced the appointment of the nominating committee for 2018-2019 board officers:

Bob Garrett, Chair
Scott Coleman
Ken Schaefer

Nelda Blair was appointed as an alternate to serve if Regent Schaefer's term on the board ends before the January 2018 meeting.

At 1:56 p.m. the chair called for an executive session to consider the following item:

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 athletic director, the executive director of enrollment management, the chief information officer, the vice presidents and the president (Texas Government Code, Section 551.074)

The executive session ended at 2:05 p.m. and the meeting was adjourned by Chair Alders.

College of Education							
Elementary Education	ELE	542		PBIC Internship- 1st semester	\$750	\$600	change
Elementary Education	ELE	543		PBIC Internship- 2nd semester	\$750	\$600	change
Human Sciences	HMS	119		Intro to Fashion Merchandising	\$140	\$135	change
Human Sciences	HMS	137		Principles of Food Science	\$30	\$45	change
Human Sciences	HMS	236		Child Development	\$0	\$5	new
Human Sciences	HMS	241		Introduction to Early Childhood Education	\$0	\$5	new
Human Sciences	HMS	331		Experimental Food Science	\$0	\$35	new
Human Sciences	HMS	380		Lodging II	\$0	\$40	new
Human Sciences	HMS	480		Hospitality Administration	\$0	\$50	new
Human Sciences	HMS	204		Aesthetics and Trends in Merchandising	\$0	\$46	new
Human Sciences	HMS	232		Twentieth Century Costume	\$0	\$41	new
Human Sciences	HMS	323		Specialty Merchandising	\$0	\$41	new
Human Sciences	HMS	343		Visual Merchandising	\$55	\$121	change
Human Sciences	HMS	452		Entrepreneurship in Fashion & Interiors	\$0	\$62	new
Human Sciences	HMS	463		Promotion of Fashion & Interior Products	\$0	\$62	new
Human Sciences	HMS	475		Special Problems	\$25	\$0	delete
Human Services	CSD	300		Speech Disorders	\$0	\$3	new
Human Services	CSD	310		Language Disorders	\$0	\$7	new
Human Services	CSD	320		Diagnostic Methods in Speech Pathology	\$0	\$30	new
Human Services	CSD	430		Clinical Experience	\$0	\$35	new
Human Services	DHH	350		Access to the Phonemic Code	\$50	\$20	change
Human Services	DHH	442		Capstone Course- DHH	\$0	\$20	new
Human Services	HSR	498		Human Services Clinical Rotation	\$0	\$144	new
Human Services	RHB	495		Internship I	\$195	\$0	delete
Human Services	RHB	496	001-499	Internship II	\$195	\$0	delete
Human Services	SPH	272		Intermediate American Sign Language	\$35	\$5	change
Human Services	SPH	414		Deaf Culture	\$35	\$0	delete
Human Services	SPH	477		American Sign Language III	\$35	\$5	change
Human Services	SPH	478		Educational Interpreting	\$35	\$5	change
Human Services	SPH	172		Beginning American Sign Language	\$35	\$5	change
Human Services	SPH	479		American Sign Language IV	\$35	\$100	change
Human Services	SPH	476		Literacy Development for the Deaf	\$0	\$20	new
Human Services	SPH	470		Language Development for the Deaf	\$50	\$54	change
Human Services	SPH	471		Advanced Language Development for the Deaf	\$0	\$64	new
Kinesiology & Health Science	KIN	522		Athletic Training Clinical II	\$48	\$30	change
Kinesiology & Health Science	KIN	110L		Jogging	\$10	\$0	delete
Secondary Education	SED	541		PBIC Internship- 1st semester	\$750	\$600	change
Secondary Education	SED	542		PBIC Internship- 2nd semester	\$750	\$600	change
Secondary Education	AED	554		Practicum for School Principals	\$0	\$20	new
Perkins College of Education				Professional Educator Fee	\$100	\$135	change
Perkins College of Education				Professional Fee	\$0	\$135	new
College of Fine Arts							
Art	ART	117		Photography for non-Majors	\$0	\$50	new
Art	ART	170		Introduction to Graphic Design	\$0	\$110	new
Art	ART	217		Introduction to Photographic Processes	\$89	\$120	change
Art	ART	220		Printmaking 1	\$100	\$150	change

Changes in Course Fees 2018-19

Appendix 1

Art	ART	240		Jewelry & Metalworking I	\$130	\$130	change
Art	ART	261		Beginning Digital Media	\$85	\$100	change
Art	ART	270		Graphic Design I	\$80	\$110	change
Art	ART	280		Art Appreciation	\$14	\$0	delete
Art	ART	281		Art History Survey I	\$24	\$25	change
Art	ART	282		Art History Survey II	\$24	\$25	change
Art	ART	312		Photographic Lighting	\$85	\$100	change
Art	ART	317		Digital Photography	\$85	\$100	change
Art	ART	318		Film/Video Editing	\$50	\$0	delete
Art	ART	390	500	Art Scope and Sequence (online)	\$38	\$0	delete
Art	ART	400		Figure Drawing	\$47	\$47	change
Art	ART	401		Expressive Drawing	\$41	\$46	change
Art	ART	415		Short Film Production	\$0	\$60	new
Art	ART	417		Advanced Photographic Processes	\$89	\$100	change
Art	ART	418		Color Photography	\$100	\$125	change
Art	ART	419		Alternative Photographic Processes	\$85	\$100	change
Art	ART	420		Printmaking II	\$100	\$150	change
Art	ART	425		Book Art Studies	\$100	\$150	change
Art	ART	447		Imaging the Body	\$6	\$25	change
Art	ART	448		Art Parallels in Media	\$0	\$25	new
Art	ART	461		Advanced Digital Media	\$85	\$100	change
Art	ART	462		Interactive Media	\$85	\$100	change
Art	ART	463		Motion Graphics	\$85	\$100	change
Art	ART	464		Time Based Media	\$85	\$100	change
Art	ART	470		Graphic Design II	\$80	\$110	change
Art	ART	471		Typography	\$80	\$110	change
Art	ART	472		Illustration	\$80	\$110	change
Art	ART	479		AAF Campaign	\$200	\$225	change
Art	ART	480		History of Modern Art	\$20	\$25	change
Art	ART	481		Abstract Expressionism to Postmodern Art	\$11	\$25	change
Art	ART	482		History of Photography, Print, and Related Media	\$35	\$25	change
Art	ART	487		History of American Art	\$35	\$25	change
Art	ART	511		Graduate Expressive Drawing	\$41	\$46	change
Art	ART	517		Advanced Photographic Processes	\$89	\$100	change
Art	ART	518		Color Photography	\$100	\$125	change
Art	ART	519		Alternative Photographic Processes	\$85	\$100	change
Art	ART	520		Graduate Printmaking	\$100	\$150	change
Art	ART	525		Graduate Book Arts Studio	\$100	\$150	change
Art	ART	540		Graduate Jewelry & Metalworking	\$110	\$130	change
Art	ART	547		Graduate - Imagine the Body	\$6	\$25	change
Art	ART	548		Graduate - Art Parallels in media	\$0	\$25	new
Art	ART	561		Graduate Advanced Digital Media	\$85	\$100	change
Art	ART	562		Graduate Interactive Media	\$85	\$100	change
Art	ART	563		Graduate Motion Graphics	\$85	\$100	change
Art	ART	564		Graduate Time Based Media	\$85	\$100	change
Art	ART	570		Graduate Graphic Design	\$80	\$110	change
Art	ART	571		Graduate Typography	\$80	\$110	change
Art	ART	572		Graduate Illustration	\$80	\$110	change

Changes in Course Fees 2018-19

Appendix 1

Art	ART	579		Graduate AAF Campaign	\$200	\$225	change
Art	ART	580		Graduate - History of Modern Art	\$35	\$25	change
Art	ART	581		Graduate - Abstract Expressionism to Postmode	\$11	\$25	change
Art	ART	582		Graduate - History of Photography	\$35	\$25	change
Art	ART	587		Graduate - History of American Art	\$35	\$25	change
Art	ART	591		MFA Exhibition	\$0	\$60	new
Art	ART	594		Problems in Teaching College Art	\$0	\$25	new
Music	MHL	350		Music for Children I	\$15	\$0	delete
Music	MHL	354		Music for Children II	\$15	\$25	change
Music	MHL	355		Music for Children III	\$15	\$25	change
Music	MHL	471		Music Sources and Materials for Children	\$15	\$0	delete
Music	MTC	107		Applied Composition	\$30	\$0	delete
Music	MTC	117		Applied Composition	\$60	\$200	change
Music	MTC	151		Aural Skills I	\$15	\$5	change
Music	MTC	152		Aural skills III	\$15	\$5	change
Music	MTC	161		Music Theory I	\$15	\$5	change
Music	MTC	162		Music Theory II	\$15	\$5	change
Music	MTC	251		Aural Skills III	\$15	\$5	change
Music	MTC	252		Aural Skills IV	\$15	\$5	change
Music	MTC	261		Music Theory III	\$15	\$5	change
Music	MTC	262		Music Theory IV	\$15	\$5	change
Music	MTC	327		Applied Composition	\$90	\$200	change
Music	MTC	358		Film Music	\$25	\$0	delete
Music	MTC	461		Music Form and Analysis	\$40	\$0	delete
Music	MTC	462		Music Form and Analysis	\$15	\$0	delete
Music	MTC	463		Scoring and Arranging	\$15	\$0	delete
Music	MTC	475		Special Problems	\$15	\$0	delete
Music	MTC	476		Special Problems	\$15	\$0	delete
Music	MTC	527		Applied Composition	\$90	\$200	change
Music	MUE	503L		Band Literature	\$10	\$0	delete
Music	MUP	100		Recital Attendance	\$15	\$20	change
Music	MUP	101		Class Piano for Music Majors I	\$10	\$20	change
Music	MUP	102		Class Piano for Music Majors II	\$10	\$20	change
Music	MUP	201		Class Piano for Music Majors III	\$10	\$20	change
Music	MUP	202		Class Piano for Music Majors IV	\$10	\$20	change
Music	MUP	132		Opera	\$35	\$150	change
Music	MUP	133	001	A Cappella Choir	\$20	\$100	change
Music	MUP	133	002	Choral Union	\$20	\$31	change
Music	MUP	133	003	Women's Choir	\$20	\$31	change
Music	MUP	134	001	Orchestra of the Pines	\$59	\$70	change
Music	MUP	135	001	Wind Ensemble	\$50	\$150	change
Music	MUP	135	002	Wind Symphony and Symphonic Band	\$50	\$75	change
Music	MUP	135	003	Wind Symphony and Symphonic Band	\$50	\$75	change
Music	MUP	135	004	University Band	\$50	\$25	change
Music	MUP	136	001	Lumberjack Marching Band	\$50	\$59	change
Music	MUP	136	002	Lumberjack Marching Band-Auxiliary	\$50	\$63	change
Music	MUP	136	003	Lumberjack Marching Band - Percussion	\$50	\$75	change
Music	MUP	136	004	Lumberjack Marching Band - Percussion	\$50	\$75	change

Changes in Course Fees 2018-19

Appendix 1

Music	MUP	332		Opera	\$35	\$150	change
Music	MUP	333	001	A Cappella Choir	\$20	\$100	change
Music	MUP	333	002	Choral Union	\$20	\$31	change
Music	MUP	333	003	Women's Choir	\$20	\$31	change
Music	MUP	334	001	Orchestra of the Pines	\$59	\$70	change
Music	MUP	335	001	Wind Ensemble	\$50	\$150	change
Music	MUP	335	002	Wind Symphony and Symphonic Band	\$50	\$75	change
Music	MUP	335	003	Wind Symphony and Symphonic Band	\$50	\$75	change
Music	MUP	335	004	University Band	\$50	\$25	change
Music	MUP	137		Jazz Band (Swingin' Axes and Swingin' Aces)	\$50	\$55	change
Music	MUP	138		Accompanying	\$40	\$0	delete
Music	MUP	139		Chamber Music	\$13	\$20	change
Music	MUP	301		Instrumental Methods Brass I	\$52	\$50	change
Music	MUP	302		Instrumental Methods Brass II	\$52	\$50	change
Music	MUP	303		Woodwinds I	\$52	\$50	change
Music	MUP	304		Woodwinds II	\$52	\$50	change
Music	MUP	305		Strings	\$52	\$50	change
Music	MUP	307		Percussion	\$52	\$50	change
Music	MUP	336	001	Lumberjack Marching Band	\$50	\$59	change
Music	MUP	336	002	Lumberjack Marching Band-Auxiliary	\$50	\$63	change
Music	MUP	336	003	Lumberjack Marching Band - Percussion	\$50	\$75	change
Music	MUP	336	004	Lumberjack Marching Band - Percussion	\$50	\$75	change
Music	MUP	337		Jazz Band (Swingin' Axes and Swingin' Aces)	\$50	\$55	change
Music	MUP	338		Accompanying	\$40	\$0	delete
Music	MUP	339		Chamber Music	\$13	\$20	change
Music	MUP	370L		Diction	\$30	\$0	delete
Music	MUP	532		Opera	\$35	\$150	change
Music	MUP	533	001	A Cappella Choir	\$20	\$100	change
Music	MUP	533	002	Choral Union	\$20	\$31	change
Music	MUP	533	003	Women's Choir	\$20	\$31	change
Music	MUP	534	001	Orchestra of the Pines	\$59	\$70	change
Music	MUP	535	001	Wind Ensemble	\$50	\$150	change
Music	MUP	535	002	Wind Symphony and Symphonic Band	\$50	\$75	change
Music	MUP	535	003	Wind Symphony and Symphonic Band	\$50	\$75	change
Music	MUP	535	004	University Band	\$50	\$25	change
Music	MUP	537		Jazz Band (Swingin' Axes and Swingin' Aces)	\$50	\$55	change
Music	MUP	539		Chamber Music	\$13	\$20	change
Music	MUS	140		Music Appreciation	\$15	\$20	change
Music	MUT	210		Introduction to Audio Technology	\$220	\$225	change
Music	MUT	220		Essentials of Audio Technology	\$220	\$225	change
Music	MUT	305		Advanced Microphone Techniques	\$175	\$200	change
Theatre	THR	162		Play Analysis and Dramatic Literature	\$8	\$25	change
Theatre	THR	161		Theatre Appreciation	\$15	\$20	change
College of Forestry & Agriculture							
Forestry	FOR	650		Advanced Wildlife Habitat Management	\$0	\$85	new
Forestry	FOR	686		Advanced Mammalogy	\$0	\$31	new
College of Sciences & Mathematics							
Biology	BIO	420		Virology / Advanced Virology	\$15	\$20	change
Biology	BIO	528		Virology / Advanced Virology	\$15	\$20	change

Changes in Course Fees 2018-19

Appendix 1

Biology	BIO	410	Fundamentals of Immunology / Advanced Immunology	\$0	\$20	change
Biology	BIO	527	Fundamentals of Immunology / Advanced Immunology	\$0	\$20	change
Biology	BIO	410L	Fundamentals of Immunology / Advanced Immunology Lab	\$0	\$20	change
Biology	BIO	527L	Fundamentals of Immunology / Advanced Immunology Lab	\$0	\$200	change
Biology	BTC	555L	Proteins and Nucleic Acids	\$20	\$25	change
Biology	BTC	557L	Advanced Metabolism & Protein Regulation	\$30	\$35	change
Biology	BTC	558L	Biophysical Chemistry	\$30	\$35	change
Biology	BTC	559L	Advanced Biotechniques	\$30	\$35	change
Nursing	NUR	304	Pathophysiology	\$30	\$25	change
Nursing	NUR	305	Introduction to Nursing	\$54	\$38	change
Nursing	NUR	306	Basic Care of Adults	\$154	\$138	change
Nursing	NUR	307	Assessment Across the Lifespan	\$160	\$149	change
Nursing	NUR	308	Pharmacology	\$15	\$47	change
Nursing	NUR	330	Nursing Care Young Adult to Elderly	\$234	\$250	change
Nursing	NUR	331	Nursing Care Women and Children 1	\$117	\$103	change
Nursing	NUR	332	Nursing Care in Promotion of Mental Illness	\$63	\$47	change
Nursing	NUR	406	Nursing Care of Clients with Complex Health Needs	\$139	\$128	change
Nursing	NUR	407	Nursing Care Women and Children 2	\$166	\$110	change
Nursing	NUR	408	Nursing Care of Clients with Complex Mental Health Needs	\$100	\$81	change
Nursing	NUR	431	Care of Community Populations	\$229	\$217	change
Nursing	NUR	432	Leadership and Coordination of Care	\$94	\$82	change
Nursing	NUR	433	Nursing Capstone	\$418	\$357	change
Nursing	NUR	436	RN-BSN Pharmacology	\$58	\$33	change
Nursing	NUR	437	RN-BSN Assessment Across the Lifespan	\$118	\$98	change
Nursing	NUR	438	RN-BSN Pathophysiology	\$58	\$66	change
Nursing	NUR	439	RN-BSN evidence Based Practice	\$27	\$33	change
Nursing	NUR	440	RN-BSN Care of Community Populations	\$58	\$66	change
Nursing	NUR	441	RN-BSN Leadership and Coordination of Care	\$58	\$66	change
Nursing	NUR	443	Legal and Ethical Issues in Professional Nursing	\$27	\$33	change
Nursing	NUR	444	RN-BSN Cultural Issues	\$27	\$33	change
Nursing	NUR	445	Nursing Informatics	\$27	\$33	change
Nursing	NUR	475	Special Problems	\$65	\$74	change
Nursing	NUR	501	Advanced Nursing Theory	\$27	\$18	change
Nursing	NUR	502	The Politics of Healthcare	\$27	\$18	change
Nursing	NUR	511	Contemporary Healthcare Ethics	\$27	\$21	change
Nursing	NUR	521	Advanced Practice Roles	\$27	\$8	change
Nursing	NUR	522	Evidence Based Research for the Advance Practice Nurse	\$27	\$8	change
Nursing	NUR	531	Advanced Pathophysiology	\$0	\$70	new
Nursing	NUR	532	Advanced Health Assessment	\$0	\$102	new
Nursing	NUR	541	Advanced Pharmacology	\$0	\$70	new

Changes in Course Fees 2018-19

Appendix 1

Nursing	NUR	542		Diagnostics and Procedures	\$0	\$189	new
Nursing	NUR	551		Primary Care 1	\$0	\$33	new
Nursing	NUR	562		Primary Care 2	\$0	\$37	new
Nursing	NUR	570		Practicum	\$0	\$181	new

Stephen F. Austin State University
Room and Board Rates for 2018-2019

Appendix 2

Residence Hall Rates	Fall or Spring Rate	Summer 1 or 2 Rate
Hall 5	\$2,149	
Hall 9 and 12	\$2,172	
Hall 17	\$2,438	
Hall 20	\$2,750	
Hall 10,11,15,18	\$1,910	
Hall 14 and 16	\$1,982	
Lumberjack Landing	\$3,224	
Lumberjack Lodge 4 br	\$3,689	
Lumberjack Lodge 2 br	\$3,917	
Lumberjack Village (Building 2) quads	\$2,871	
Lumberjack Village (Buildings 1 & 2) 2br	\$3,917	
Lumberjack Village (Buildings 1 & 2) 1 br	\$4,824	
Lumberjack Village (Building 3) 2br	\$4,392	
Lumberjack Village (Building 3) 1 br	\$5,235	
Summer Hall - To be determined		\$636

Meal plans (rates include sales tax)

	All Access Premium w/\$275 \$1,961	All Access w/\$50 \$1,763	7/14 Premium w/\$350 \$1,915	Basic 7/14 w/\$125 \$1,717
Campus Resident				
Commuter	7/5 w/\$50 \$675	50 Block w/\$50 \$429	25 Block w/\$100 \$303	\$325 Dining Dollars \$325
Summer Resident	7/14 w/\$75 \$631	7/20 w/\$50 \$788		
Summer Commuter	50 Block w/\$50 \$429	25 Block w/\$100 \$303		

Combined Room and Board

Residence Hall	All Access Premium	Fall and Spring Semester All Access	7/14 Premium	7/14 Basic	Summer 1 or 2 Semester w/7 Day 14 Meals	Summer 1 or 2 Semester w/7 Day 20 Meals
5 Wisely Hall	\$4,110	\$3,912	\$4,064	\$3,866		
9 North Hall	\$4,133	\$3,935	\$4,087	\$3,889		
10 Hall 10	\$3,871	\$3,673	\$3,825	\$3,627		
11 Mays Hall	\$3,871	\$3,673	\$3,825	\$3,627		
12 South Hall	\$4,133	\$3,935	\$4,087	\$3,889		
14 Hall 14	\$3,943	\$3,745	\$3,897	\$3,699		
15 Griffith Hall	\$3,871	\$3,673	\$3,825	\$3,627		
16 Hall 16	\$3,943	\$3,745	\$3,897	\$3,699		
17 Steen Hall	\$4,399	\$4,201	\$4,353	\$4,155		
18 Kerr Hall	\$3,871	\$3,673	\$3,825	\$3,627		
20 Hall 20	\$4,711	\$4,513	\$4,665	\$4,467		
Lumberjack Landing	\$5,185	\$4,987	\$5,139	\$4,941		
Lodge 4br	\$5,650	\$5,452	\$5,604	\$5,406		
Lodge 2br	\$5,878	\$5,680	\$5,832	\$5,634		
Village quads	\$4,832	\$4,634	\$4,786	\$4,588		
Village (1 & 2) 2br	\$5,878	\$5,680	\$5,832	\$5,634		
Village (1 & 2) 1br	\$6,785	\$6,587	\$6,739	\$6,541		
Summer Hall					\$1,267	\$1,424

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

RESOLUTION TO ACKNOWLEDGE
REVIEW OF INVESTMENT POLICY AND STRATEGY

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

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

NOW THEREFORE BE IT RESOLVED that the Stephen F. Austin State University Board of Regents, by the issuance of this resolution, does hereby approve the investment policy and strategy as reviewed on January 30, 2018, including appointment of the Director of Administrative Services as an additional investment officer and other non-substantive wording changes; and

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 30, 2018 meeting of the board.

Attest:

David Alders, Chair

Brigittee Henderson, Vice Chair

Date

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

RESOLUTION APPROVING
FINANCIAL INSTITUTIONS AND BROKERS
FOR INVESTMENT TRANSACTIONS

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

WHEREAS, the following firms are approved investment brokers:
Texas A&M University State System
Bank of America

WHEREAS, the following firms are approved financial institutions:

Citizens 1st Bank
Austin Bank
BancorpSouth Bank
Bank of America
Commercial Bank of Texas NA
Southside Bank (formerly First Bank and Trust)
Regions Bank
Regions Morgan Keegan Trust
Huntington State Bank
Wells Fargo
US Bank
Texas Bank
Texpool
Texpool Prime
Texstar
Texas Class
Texas Term
JPMorgan Chase & Co
Wilmington Trust, N.A.

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

BE IT FURTHER RESOLVED that a copy of this resolution be spread upon the minutes of the January 30, 2018, meeting of the board.

David Alders, Chair

Brigettee Henderson, Vice Chair

Date _____

Report to the Board of Regents – January 2018
 Grants¹ awarded between and September 23 and December 15, 2017

Fiscal Year 2018 – as of December 15, 2017

Amounts allocable to FY18 (detailed in this report)

Direct Federal	\$ 110,701
Federal Pass-through	\$ 92,782
State and State Pass-through	\$ 115,075
Private and Local Government	\$ 7,140
TOTAL	\$ 325,698

Cumulative amount allocable to FY18 **\$ 4,725,459**

New awards (detailed in this report, all project years) **\$ 530,997**

Cumulative award total, all project years **\$ 14,522,921**

Federal Workstudy Funds (not included in ORSP totals) \$ 7,819

New, Additional, or Previously Unreported Awards for FY 2018

Direct Federal

Title: **OVW Relationship Violence Program FY18-21*
Sponsor: Department of Justice, Office of Violence Against Women (OVW)
 Award #2017-WA-AX-0013, CFDA 16.525
Award Term: October 1, 2017 – September 30, 2020
PI/PD: Dr. Michael Walker, Student Affairs Support Services
Total Award: \$300,000 **Amount Allocable to FY 2018:** \$94,701
This program allocates funds to provide a comprehensive sexual violence education and prevention program to the university community.

Previously Described Awards

**National Visitor Use Monitoring (NVUM) - Texas FY18*
Award Total: \$16,000 **Amount allocable to FY 2018:** \$16,000

Subtotal Amounts Allocable to FY2018 (this report) = \$110,701
Subtotal New Direct Federal Awards (total award) = \$316,000

Federal Workstudy Funds (not included in ORSP totals)

Department of Education federal work-study allocation

FY2018 Increase of \$7,819

Agency: Department of Education

Manager: Rachele Garrett, Financial Aid

This program funds work-study students.

**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 & Sponsored Programs.*

Report to the Board of Regents – January 2018
 Grants¹ awarded between and September 23 and December 15, 2017

Federal Pass-through

Title: **Traveling Exhibit, "Apron Chronicles: A Patchwork of American Memories"*
Sponsor: Humanities Texas (National Endowment for the Humanities - NEH)
 Award #2017-5268, CFDA 45.129
Award Term: February 1, 2017 – December 31, 2017
PI/PD: Carolyn Spears, Stone Fort Museum
Total Award: \$1,500 **Amount Allocable to FY 2018:** \$1,500
Funds assisted with the Apron Chronicles exhibit at the Stone Fort Museum during fall 2017.

Previously Described Awards

**Texas AHEC East, Piney Woods Region, Federal FY18*
Award Total: \$91,282 **Amount allocable to FY 2018:** \$91,282

Subtotal Amounts Allocable to FY2018 (this report) = \$92,782
Subtotal New Direct Federal Pass-Through awards (total award) = \$92,782

State and State Pass-through Awards

Title: **Performance Grant Support: Mitoliiztli Yaoyollochitli Performance*
Sponsor: Texas Commission on the Arts
Award Term: November 1, 2017 – November 30, 2017
PI/PD: Veronica Beavers, Department of Multicultural Affairs
Total Award: \$750 **Amount Allocable to FY 2018:** \$750
This grant assisted Multicultural Affairs in securing a performer for the Native American Heritage Month activities.

Previously Described Awards

**Texas AHEC East, Piney Woods Region, State FY18*
Award Total: \$110,285 **Amount allocable to FY 2018:** \$110,285

Disability Services – Interpreter Services

Award Total: \$4,040 **Amount allocable to FY 2018:** \$4,040

Subtotal Amounts Allocable to FY 2018 (this report) = \$115,075
Subtotal New State and State Pass-through Awards (total award) = \$115,075

**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 & Sponsored Programs.

Report to the Board of Regents – January 2018
 Grants¹ awarded between and September 23 and December 15, 2017

Private Entity and Local Government Awards

Previously Described Awards

Economics Reading Group

Award Total: \$33,780

Amount allocable to FY 2018: *\$4,140

****Poultry Science Education Student Recruitment FY18***

Award Total: \$3,000

Amount allocable to FY 2018: \$3,000

Subtotal Amounts Allocable to FY2018 (this report) = \$7,140

Subtotal New Private and Local Awards (total award) = \$36,780

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

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

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

**Policies for Board Review
January 30, 2018**

Policy Name	Policy Number	Action/Change	Page
Academic and Student Affairs Committee			
Academic Appeals by Students	6.3	Policy title changed; other grammatical changes.	P-5
Academic Unit Head Appointments	4.2	Minor wording changes.	P-9
Animals on University Property	13.2	"Therapy animal" revised to "emotional support animal." Added responsibilities of handlers.	P-11
Class Attendance and Excused Absence	6.7	Policy title changed; other minor wording changes.	P-19
Disposition of Abandoned Personal Property	13.6	Reviewed with no changes recommended.	P-23
Electronic Personnel Action Form	11.8	Minor wording changes.	P-26
Employee Training	11.11	Procedural language removed. Clarified HR role in training.	P-29
Employment of Persons with Criminal History	11.12	Minor wording changes.	P-33

Policy Name	Policy Number	Action/Change	Page
Honorary Degree	5.12	Reviewed with no changes recommended.	P-35
Performance Management Plan	11.20	Procedural language removed. Categories of discrimination expanded. Disqualifier for administrative leave added.	P-37
Retirement Programs	12.15	Minor wording changes.	P-41
Security Sensitive Positions	11.25	Minor wording changes.	P-44
Temporary Employment	11.28	Procedural language removed. Clarification concerning hiring employees from agencies by contract.	P-47
Textbook Adoption Timeline	10.1	Requested editions will be ordered. Deadline for fall orders moved from March 1 to April 1.	P-50
Time Reporting for Non-Exempt Employees	11.30	Small wording changes.	P-54
Workers Compensation Coverage	12.23	Reporting requirements clarified. Options for using sick and annual leave clarified.	P-57

Policy Name	Policy Number	Action/Change	Page
Building and Grounds Committee			
Alcohol Service	13.7	Reviewed with no changes recommended.	P-61
Asbestos Removal	13.4	Policy title changed with major rewrite of policy.	P-64
Turner Auditorium	16.30	Dean's approval required for reservations.	P-69
Finance and Audit Committee			
Historically Underutilized Businesses	17.7	Reviewed with no changes recommended.	P-74
Investments	3.21	Addition of Director of Administrative Services; other minor wording changes.	P-77
Investments – Endowment Funds	3.20	Addition of Director of Administrative Services; other minor wording changes.	P-88
Professional and Consulting Services	17.12	Reviewed with no changes recommended.	P-98
Purchase of Electronic and Information Resources	17.16	Minor wording changes.	P-103
Purchase Requisition	17.19	Exceptions can be found in policies 17.20 and 17.5.	P-106

Policy Name	Policy Number	Action/Change	Page
Purchase Voucher	17.20	Updates list of authorized types of payments and describes exceptions.	P-109
Risk Management	13.19	Minor wording changes.	P-112

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Academic Appeals by Students

Policy Number: 6.3

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

Date of last revision, if applicable: 7/1/2017

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

Purpose of Policy (what does it do): Provide a procedure for students to appeal their final grades

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

☐ Scheduled Review

☐ Change in law

☐ Response to audit finding

☐ Internal Review

☒ Other, please explain: Responding to comments by the general counsel

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The earlier policy revision in July resulted in two comments by the general counsel. In reviewing the comments, the committee recognized that the problems related to grammar rather than substance. Thus, the committee cleaned up grammar that, in turn, addressed the comments of the general counsel.

Specific rationale for deletion of policy:

Additional Comments:

The policy, as previously revised in July, made a substantial change in allowing the provost to alter an instructor's final grade for "extraordinary circumstances," such as the death of the instructor. The original policy allowed only the instructor to enter a final grade no matter the recommendations of the appeal process. The Faculty Senate and Chairs Forum expressed no opposition to the revision. This language was retained in the current revision.

Reviewers:

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

Academic Policy Committee

Steve Bullard, Provost and Vice President for Academic Affairs

Damon Derrick, General Counsel

Academic Final Course Grade Appeals by Students

Original Implementation: August 31, 1981

Last Revision: ~~July 25, 2017~~ January 30, 2018

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. ~~All relevant written documentation under consideration at each step will be forwarded to the appropriate parties at the next procedural level.~~ Any further appeal must be made within ten (10) business days from the conclusion of each step. Recommendations ~~or~~ decisions 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.

~~It is important to distinguish grounds for grade appeal from questions about quality of instruction. Successful grade appeals must be based on evidence that the student performed at a level sufficient to warrant a different grade. It is important for students to bring to the instructor's and the department's attention perceived deficiencies in instruction, but these by themselves do not normally warrant a change in grade.~~

These steps are ~~to be~~ followed when making an academic appeal:

- ~~1.~~ Students must first appeal in writing to the faculty member with whom they have an ~~academic~~ final grade dispute. ~~In the case of a final grade dispute,~~ Students must appeal to the instructor within thirty (30) calendar days after the first class day of the next long semester. Given extenuating circumstances, exceptions to this deadline may be granted by the academic unit head.
- ~~2.~~ 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.
- ~~3.~~ If the dispute remains unresolved after ~~appeal~~ a recommendation by the academic unit head, ~~either individual involved in the dispute,~~ the student may appeal in writing to the academic dean. *The dean notifies both parties of the continuation of the appeal. The faculty members may submit an additional response.* The academic unit head will forward all documentation involved in the dispute to the dean. ~~The dean notifies both parties of the continuation of the appeal and provides a written recommendation.~~

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. The college council reviews all documentation and submits its recommendation to the dean. *The dean provides both parties a written recommendation.*

4. ~~If the dispute remains unresolved a~~After a recommendation is made by the dean, ~~either party~~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 dean's written recommendation in addition to all documentation is submitted 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 evaluates all documentation and any other information deemed relevant.~~

- 5.3. The provost and vice president for academic affairs ~~will~~ informs the student and all persons involved in the appeal process of the recommendation.

~~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, u~~Under extraordinary circumstances (such as e.g., the instructor ~~being~~is deceased, is no longer ~~being~~at the institution with no way of being contacted, disregard for the instructor's grading policies or procedures, or having been found or is in violation of any relevant university, college, or department policy or procedure), a grade may be changed by the provost and vice president for academic affairs after consultation with the dean and academic unit head. ~~The authority to change a grade would be with the provost and vice president for academic affairs, after consultation and recommendation from the dean and academic unit head. If possible, t~~The provost and vice president for academic affairs ~~will~~ 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); Sexual Misconduct (2.13); Faculty Code of Conduct (7.11); Discrimination Complaints (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

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Academic Unit Head Appointments

Policy Number: 4.2

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): The policy outlines the length of contract appointments for academic unit heads (11-month or 12-month) and spells out the obligations under each contract type.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: An introductory sentence was added to inform the reader from the outset that two types of contracts exist for the appointment of chairs (academic unit heads). Otherwise, the policy was only edited for grammar and clarity. No substantive changes were made.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Policy Committee

Steve Bullard, Provost and Vice President for Academic Affairs

Damon Derrick, General Counsel

Academic Unit Head Appointments

Original Implementation: May 23, 1979

Last Revision: ~~January 27, 2015~~ January 30, 2018

Academic unit heads may be hired under either an eleven-month or twelve-month contract.

~~Academic unit heads under a twelve-month contract are expected to be on duty each working day except when on vacation, sick leave, or other form of leave. Vacation time and sick leave are earned according to the schedule for Texas state employees. Academic unit heads are subject to being called upon to address a task or issue outside the normal working day when it is determined by the dean to be in the best interest of the university.~~

Academic unit heads under an eleven-month contract are expected to be on duty each working day within that contract period when classes are in session ~~except when on sick or other form of leave~~. It is the responsibility of academic unit heads to ensure that ongoing academic unit obligations are met during their absence. Vacation time is not accrued under an eleven-month appointment. Sick leave is earned according to the schedule for Texas state employees. Academic unit heads under an eleven-month contract are also subject to being called upon to address a task or issue outside the normal working day when it is determined by the dean to be in the best interest of the university.

Academic unit heads who are appointed for a ~~period of~~ eleven months should have no university duties during the equivalent of one calendar month (twenty-one working days, throughout the year). ~~In any case, the~~ twenty-one days will be logged in the academic unit office and approved by the respective dean prior ~~to the time of~~ to taking leave from duties.

Academic unit heads under a twelve-month contract are expected to be on duty each work day. Vacation and sick leave are earned according to the schedule for Texas state employees. Academic unit heads are subject to being called upon to address a task or issue outside the normal work day when it is determined by the dean to be in the best interest of the university.

Cross Reference: Administration of Academic Units (4.4); Faculty Workload (7.13); Sick Leave (12.18)

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

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Animals on University Property

Policy Number: 13.2

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): Outlines university intent to comply with federal, state, and local regulations in regard to use of service animals in university facilities, emotional support animals in university housing, and recreational animals on university grounds.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The term 'therapy animal' has been revised to 'emotional support animal' to more accurately represent the type of assistance the animal provides and create a distinction between emotional support animals needed to alleviate symptoms of an individual's mental/emotional disability versus therapy animals used by mental health professionals in therapeutic settings. - Added responsibilities of handlers in regard to animal conduct, care of the animal, and proper clean-up and disposal of animal waste.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

Winston Baker, Director of Residence Life
Marc Cossich, Executive Director of Public Safety/Chief of Police
Tiffany Rivers, Director of Disability Services/ADA Coordinator
Dr. Michael Walker, Assistant Dean of Student Affairs, Support Services/Title IX Coordinator
Dr. Adam Peck, Assistant Vice President for University Affairs/Dean of Student Affairs
Dr. Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel

Animals on University Property

Original Implementation: Unpublished

Last Revision: ~~January 27, 2015~~ January 30, 2018

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

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

Consideration of others may be taken into account when providing for the maintenance and hygiene of service animals. Additionally, specific guidelines have been established concerning service and ~~therapy-emotional support~~ animals living in a campus residency environment.

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

Section I. Definitions

A. Handler:

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

B. Service Animal:

Any dog, or miniature horse, that is individually trained to do work or perform tasks for the benefit of an individual with a disability, including a physical, sensory, psychiatric, intellectual, or other mental disability. Other species of animals, whether wild or domestic, trained or untrained, are not service animals for the purposes of this definition. The work or tasks performed by a service animal must be directly related to the handler's disability. The

crime deterrent effects of an animal's presence and the provision of emotional support, well-being, comfort or companionship do not constitute work or tasks for the purposes of this definition.

C. ~~Therapy~~ *Emotional Support Animal*:

An animal that ~~works, provides assistance, or performs tasks for the benefit of an individual with a disability or~~ provides emotional support or therapeutic benefits that alleviate one or more of the identified symptoms or effect of a person's disability; however, the animal is not required to be individually trained or certified to perform such task. ~~Therapy~~ *Emotional support animals include may also be referred to as "emotional support comfort animals," "companion animals," and "assistive assistance animals" used to support individuals with mental or emotional disabilities. These animals may provide crime deterrent effects or emotional support, well-being or comfort.*

D. Recreational Animal:

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

E. Unauthorized Animal:

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

Section II. Service Animals

A. University Responsibility

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

B. Inquiries

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

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

C. Service Animal in Training

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

D. Exceptions

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

Section III. ~~Therapy~~ Emotional Support Animals

A. Inquiries

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

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

B. Exceptions

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

Section IV. Handler or Owner Responsibility

A. Authorized Animals

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

8. All service/~~therapy~~ *emotional support* animals must have an annual clean bill of health from a licensed veterinarian. The animal's cleanliness is mandatory in the campus environment.
9. Vaccinations must be current and based on a veterinarian's recommendations, *with records made available at time of request*.
10. Daily grooming and occasional baths (at a vet or a family home) should be undertaken to keep the service animal's odor to a minimum.
11. Flea control is essential and adequate preventative measures must be taken. If a flea problem develops, it must be dealt with immediately and in an effective manner. In the event a flea problem is not eliminated by the handler, the university will exterminate the property and assess the handler the standard extermination fee.

B. Unauthorized Animals

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

Section V. Residence Life and Food Service Guidelines

1. Occupants of university housing are not permitted to keep pets, except small birds in cages and small fish in aquariums.
2. Service animals are permitted to accompany the individual with a disability to all areas of the facility where persons are normally allowed to go.
3. ~~Therapy~~ *Emotional support* animals are not permitted anywhere outside of the individual's assigned living space; exceptions may be made on a case-by-case basis from Residence Life or Disability Services.
4. Service/~~therapy~~ *emotional support* animals should be kept under control. Animals should always be on a leash except when in the student's room with the door closed unless the leash restricts the service ~~animals~~ *animal's* ability to function appropriately.
5. Animal food should be kept in a covered storage container to deter pests.
6. An animal's paws must be kept off tables, trays, and food service counters at all times.

Section VI. Information and Appeals

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

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

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

Responsible for Implementation: Vice President for University Affairs

Contact For Revision: Chief of University Police, Director of Disability Services, and Director of Residence Life

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Class Attendance and Excused Absence

Policy Number: 6.7

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): The policy informs students and faculty about how absences in classes are handled

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: It is recommended that the name of the policy change to delete reference to "excused" absences. The reason for the change is that no absences are automatically excused. Rather, the decision on whether an absence is excused or not is determined by the instructor. It is misleading to indicate in the title that excused absences are somehow available. Otherwise, the committee made only grammatical changes to clarify language. Please note the second paragraph begins with a clause making it unmistakable that excused absences are at the discretion of the instructor.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Policy Committee

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

Steve Bullard, Provost and Vice President for Academic Affairs
Damon Derrick, General Counsel

Class Attendance and Excused Absence

Original Implementation: November 9, 1981

Last Revision: ~~January 27, 2015~~ January 30, 2018

Class Attendance

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.

Excused Absences

*At the discretion of the instructor, s*Students may be excused from attendance for reasons such as health, family emergencies, or student participation in approved university-sponsored events. *When possible, However, students are responsible for students should notifying their* instructors in advance ~~, when possible, about for excusable~~ 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~~ *may* 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).

~~Students remain responsible for providing documentation in a timely manner to the instructor for each absence. The instructor determines whether such documentation is satisfactory.~~

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 up to three weeks of absences during a semester or one week of a summer term, depending on the nature of the missed work. *The timeline for completing m*Make-up work ~~will be determined by the instructor~~ *work must be completed as soon as possible after returning from an absence.*

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

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Disposition of Abandoned Property

Policy Number: 13.6

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): Deals with how abandoned property will be disposed of, including where it will be stored and under what conditions it can be sold.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Reviewed with no changes recommended.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Dr. Adam Peck, Dean of Student Affairs
 Sam Smith, Director of Student Services
 Marc Cossich, Executive Director of Public Safety/Chief of Police
 Dr. Steve Westbrook, Vice President for University Affairs
 Damon Derrick, General Counsel

Disposition of Abandoned Personal Property

Original Implementation: October 18, 1988

Last Revision: ~~January 27, 2015~~ January 30, 2018

Lost property means any unclaimed personal property coming into the possession of the university, other than motor vehicles as defined in the Texas Transportation Code. Lost property shall be deemed abandoned if the rightful owner does not come forth and make a valid claim within ninety (90) days of the university's original possession.

Unless the abandoned property is being held as evidence to be used in a pending criminal case, the university may dispose of the abandoned property by public auction. The profits of the auction shall be used for student service activities as directed by the Office of the Dean of Student Affairs. However, if the rightful owner makes a valid claim to abandoned property before auction, then the university shall return the property to the rightful owner.

REPORTING OR CLAIMING ABANDONED PERSONAL PROPERTY

Any individual finding lost property on the university campus or seeking to claim lost property should follow the guidelines listed below.

1. A person finding lost or unclaimed property should turn in said property at the University Police Department or the information desk in the student center. Lost or unclaimed property found in Steen Library should be turned in to the circulation desk on the first floor. Lost or unclaimed property found in academic buildings should be turned in to the appropriate departmental office. Lost or unclaimed bicycles or other bulky items are stored in the University Police Department.
2. A written Record of Unclaimed Personal Property form indicating the date the lost or unclaimed property came into the university's possession shall be completed and retained by the receiving department.
3. After fifteen (15) days, all unclaimed property held in the University Police Department, in Steen Library, or in other campus areas such as departmental offices, shall be transferred to the student center information desk with the record indicating the date of receipt of the unclaimed property. Unclaimed bicycles and other bulky items will be stored by University Police Department.
4. Lost items may be claimed at the student center information desk upon presentation of reasonable identification of the lost property.
5. A public auction is held annually under the direction of the dean of student affairs at a time and place announced during each academic year.

Cross Reference: Tex. Educ. Code § 51.213

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Dean of Student Affairs

Forms: Record of Unclaimed Personal Property (available in University Printing Services)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Electronic Personnel Action Form

Policy Number: 11.8

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): Policy provides guidelines for processing electronic personnel action forms.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No substantive changes were made.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Loretta Doty, Director of Human Resources
 Kay Johnson, Director of Procurement and Property Services
 Danny Gallant, Vice President for Finance and Administration
 Damon Derrick, General Counsel

Electronic Personnel Action Form

Original Implementation: Unpublished

Last Revision: ~~January 27, 2015~~ January 30, 2018

The Electronic Personnel Action Form (EPAF) is used to ~~obtain document~~ administrative approval and to notify payroll/human resources (HR) of changes in employment status for all employees, including graduate and undergraduate students. ~~Detailed instructions for the completion of the EPAF are available from HR.~~

~~Originators and approvers of EPAFs must be trained and complete authorization forms before they will be allowed to access the EPAF through Self-Service Banner. Further information regarding this training and the proper forms can be obtained from HR.~~

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. ~~Failure to complete the EPAF process in a timely manner may be cause for disciplinary action by the supervisor. 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. An employee who has questions regarding the procedures may contact HR for assistance.~~

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

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Employee Training

Policy Number: 11.11

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): Policy provides an overview of university training goals, the types of training offered by the university and the roles and responsibilities of involved parties.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Changes were made to remove procedural language and to clarify human resources role in overseeing training activities for the university.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Loretta Doty, Director of Human Resources
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Employee Training

Original Implementation: January 28, 2003

Last Revision: ~~January 27, 2015~~ January 30, 2018

It is the policy of the university 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.

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 ~~also 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, Employee Scholarship 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:

Supervisors and Managers: 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;
Employee Scholarship 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

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Employment of Persons with Criminal History

Policy Number: 11.12

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): Provides guidelines on employing persons with criminal history.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No substantive changes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Loretta Doty, Director of Human Resources
 Danny Gallant, Vice President for Financial Resources
 Damon Derrick, General Counsel

Employment of Persons with Criminal History

Original Implementation: August 1, 1983

Last Revision: ~~January 27, 2015~~ January 30, 2018

No person who has been convicted of a felony or is currently on probation for a felony or convicted of a misdemeanor of moral turpitude shall be employed at the university in a security sensitive position. Exceptions to this ~~rule~~-policy may be made on the basis of three factors:

1. the immediate past employment of the applicant or employee;
2. the job relatedness of the crime; or
3. the time elapsed since the crime.

All employees are required to disclose a felony or misdemeanor conviction involving moral turpitude whether prior to or during employment. For purposes of this policy, moral turpitude shall include, but is not limited to dishonesty, giving of a false statement, fraud, and theft. Employees should disclose the conviction to their department head who shall inform the director of human resources.

This ~~rule~~-policy is designed to assure the safety and security of the students, faculty, and staff and property at the university.

For purposes of this ~~rule~~-policy, the term "offense that constitutes a felony" shall have the same meaning as the term is used in the Texas Penal Code or any United States codes.

~~This rule becomes effective and shall apply to all persons applying for, or granted, employment with the university on or after August 1, 1983.~~

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

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Honorary Degree

Policy Number: 5.12

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

Date of last revision, if applicable: 1/27/2015

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Describes authority and process for granting honorary degrees.

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Reviewed with no changes recommended.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Baker Pattillo, President
Damon Derrick, General Counsel

Honorary Degree

Original Implementation: October 18, 1988

Last Revision: ~~January 27, 2015~~ January 30, 2018

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

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Performance Management Plan

Policy Number: 11.20

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): Provides guidelines on conducting performance evaluations.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Some procedural content was removed from the policy. Language was added to expand discriminatory categories to include sexual orientation, gender identity, and expression. Language indicating a disqualifier for administrative leave based upon the performance evaluation was also added.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Loretta Doty, Director of Human Resources
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Performance Management Plan

Original Implementation: July 14, 1998

Last Revision: ~~January 27, 2015~~ January 30, 2018

The purpose of the Performance Management Plan is to maximize employee work efforts to achieve university, organizational and individual objectives through the active participation in the goal-setting process; to ensure that all employees receive a timely and objective review of their job performance each year; to identify employees whose job-related performance and conduct does not meet established objectives or contribute effectively to the university; and to ensure that job performance is measured effectively for compensation purposes.

This policy applies to all non-faculty employees, excluding academic department chairs, deans, library director, charter school teachers, and all coaches at Stephen F. Austin State University *that have completed their initial employment probation prior to the beginning of the annual evaluation period.* However, all categories listed as an exemption ~~above~~ shall have some form of evaluation system, but are not governed by this policy. This policy also does not apply to positions which require student status, casual employees, or employees working less than 50% FTE. Employees must be evaluated to be eligible for merit increases.

Human Resources (HR) oversees the performance management plan to include development of applicable forms, retention of completed evaluation plans and establishing guidelines for evaluating employees' performance.

Procedure

~~The process of job performance evaluation should include the following steps:~~

- ~~1. Set and communicate job expectations at the start of the review period. Use the employee's job description to review the expectations of the job. If the job description needs revision, contact human resources for assistance.~~
- ~~2. Provide ongoing coaching and counseling during the review period and document significant discussions regarding positive achievements and needed improvement in regard to job performance or conduct.~~
- ~~3. Conduct the annual performance review at the end of the review period.~~
- ~~4. The reviewing supervisor must review the employee's evaluation to ensure the first line supervisor has complied with EEO law.~~

~~Evaluate how the employee's performance was consistent with the appropriate performance values.~~

~~Describe any areas in which the employee needs to improve. Specific results should be addressed and documented.~~

~~Summarize and evaluate the employee's overall performance. After completion of the evaluation and the appropriate approvals, the original form should be sent to human resources and copies given to the employee and supervisor.~~

Documentation

The review plan for each employee should be free from discrimination including race, color, religion, sex, age, national origin, disability, genetic information, citizenship or disabled veteran status according with Equal Employment Opportunity (EEO) law. *Additionally, Stephen F. Austin State University prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression.* Supervisors may not consider the employee's use of federally protected leaves, such as Family Medical Leave, against the employee during the evaluation. For further clarification, please contact human resources. Each supervisor will be held responsible for ensuring the review is fair, objective, accurate, and honest and discussed with the employee. Supervisors are also responsible for ensuring consistency of application within their departments. Reviewing supervisors are responsible for ensuring compliance with EEO law.

Compensation Actions

Merit pay increases, general pay increases, and all other compensation actions are to be consistent with the level of employee's actual job performance. Merit increases are to be withheld for employees who *had an overall rating of* ~~are rated~~ "needs improvement" or "unsatisfactory" and therefore are not fully effective in their job performance. *Administrative leave is to be withheld for employees who receive a rating of less than acceptable in any evaluation factor.* ~~The immediate and reviewing supervisor should discuss related actions with human resources before taking such steps to ensure appropriate documentation.~~

Interpretation

~~Questions regarding the interpretation of this policy should be referred to the director of human resources. The forms and format used in this process may be modified for unique circumstances upon the review and approval by the director of human resources.~~

Cross Reference: None

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Director of Human Resources

Forms: Performance Management Plan and Review (Available on the Internet)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Retirement Programs

Policy Number: 12.15

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): Provides information on the retirement programs available to SFA employees, eligibility criteria for both retirement programs and timelines for selecting retirement program.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No substantive changes were made -- all changes were for clarification only

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Loretta Doty, Director of Human Resources
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Retirement Programs

Original Implementation: September 1, 1983

Last Revision: ~~January 27, 2015~~ January 30, 2018

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.

~~With regard to federal, private and other non education and general contributions to retirement programs, matching contributions into both ORP and TRS based on salaries and wages paid from these sources will be direct fringe benefits charged against these sources.~~

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 annual salary to the Retirement System 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 ~~those terms are 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.

~~Eligibility in ORP is in lieu of present or future active membership in the Teacher Retirement System of Texas.~~

~~Time Limit for Election of ORP—ORP~~ Eligible new employees *must elect to participate in ORP within 90 days after employment by at the university. in an ORP eligible position to elect to participate in ORP. After 90 days of employment, the employee will become ineligible for ORP and will only qualify for TRS. An employee who elects to participate in ORP must complete the Form TRS 28 and the proper payroll forms. If applicable, the employee will complete Form TRS 29 to withdraw all contributions they made to TRS prior to election ORP.*

~~A listing of authorized vendors and agents is available in human resources.~~

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

Responsible for Implementation: President

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

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Security Sensitive Positions

Policy Number: 11.25

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): Identifies criteria for designating SFA positions as security sensitive, the requirement for conducting and reviewing criminal background checks, and the process of approving candidates with criminal convictions.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No substantive changes were made -- all changes were made to receiving procedural content and for clarification purposes.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Loretta Doty, Director of Human Resources
 Danny Gallant, Vice President for Finance and Administration
 Damon Derrick, General Counsel

Security-Sensitive Positions

Original Implementation: May 1, 1989

Last Revision: ~~January 27, 2015~~ January 30, 2018

Security-sensitive positions are those in which employees handle currency, have access to a computer terminal, ~~have access to a master key, have access to the personal information or identifying information of another person, have access to the 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.~~ Positions designated as security-sensitive will be identified as such in individual job descriptions, in any advertisement ~~ing~~ 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.*

~~Department heads and/or account managers having the authority to employ, who desire to establish, change, or delete a position as security sensitive must submit, through administrative channels, a recommendation to the appropriate vice president. If approved, the vice president will forward the recommendation to the director of human resources who will identify the position as security sensitive in the personnel records of the university. All advertisements and notices released for security sensitive positions shall include the statement: "Security Sensitive Position."~~

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,~~ 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. ~~The appropriate vice president or president will make the final decision on employment of the candidate.~~

~~After the expiration of the employee's probationary term of employment, all criminal history information relating to the employee shall be destroyed.~~

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

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Temporary Employment

Policy Number: 11.28

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): Policy provides guidelines for hiring temporary employees at SFA.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Changes were made to clarify the requirements of hiring an employee through a temporary agency by contract. Some procedural language was also removed.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Loretta Doty, Director of Human Resources
Kay Johnson, Director of Procurement and Property Services
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Temporary Employment

Original Implementation: September, 1988

Last Revision: ~~January 27, 2015~~ January 30, 2018

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

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 and may not be allowed to work again in a casual position until 26 weeks have past. 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 SFA to provide temporary labor services. The SFA department needing assistance should contact *the Procurement and Property Services Department*. ~~the temporary agency to make the order and negotiate the wage to be paid to the temporary services employee. Upon agreement between the department and the temporary agency, the temporary agency will contact the SFA Human Resources and Procurement and Property Services departments to notify them of the agreement.~~ More detailed information regarding the temporary agency and how to secure a temporary employee can be found on the ~~SFA Human Resources and Procurement and Property Services departments'~~ websites.

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 and it will be clearly stated that the position is temporary, for a specified period of time. ~~A sample letter is available in human resources.~~ 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: President

Forms: Electronic Personnel Action Form (EPAF)

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Textbook Adoption Timeline

Policy Number: 10.1

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

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

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

Purpose of Policy (what does it do): The policy defines the deadlines by which faculty must submit their textbook orders to the college bookstore.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Faculty complained that the bookstore would automatically order the newest edition of a textbook when sometimes the previous was better. Thus the policy was altered to require the bookstore to order the "requested edition" of a book. Additionally, the policy mentioned the state law that governs this policy but failed to define what it stipulated. An explanation was added. Finally, the deadline for fall semester textbook orders was moved from March 1 to April 1 to allow more time to make textbook decisions.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

Academic Policy Committee

Steve Bullard, Provost and Vice President for Academic Affairs

Damon Derrick, General Counsel

Textbook Adoption Timeline

Original Implementation: Unpublished

Last Revision: ~~November 2, 2015~~ January 30, 2018

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 (~~bookstore~~) to secure adopted items at more favorable prices ~~as well as~~ 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 ~~the publishing of~~ the course schedule for each semester, the bookstore provides each academic department chair/unit head the materials and support needed to facilitate timely adoption of textbooks and course materials. Approximate due dates for departmental adoptions are listed below:

1. Fall semester - ~~March~~ 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.

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 ~~department chair~~ 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 University Academic Affairs*

Contact for Revision: ~~Director of Student Services~~ *Provost and Vice President for Academic*

Affairs

Forms: None

Board Committee Assignment: Academic and Student Affairs

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Time Reporting for Non-Exempt Employees

Policy Number: 11.30

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): Provides guidelines for non-exempt employees (those employees eligible for overtime) for reporting their time and leave in the electronic timekeeping system

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Small changes to provide clarification of certain procedures that were already addressed in existing policy.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Time Reporting for Non-Exempt Employees

Original Implementation: Unpublished

Last Revision: ~~January 27, 2015~~ January 30, 2018

This policy pertains to the reporting of hours worked and leave taken by non-exempt employees. Non-exempt refers to employees who are ~~not exempt~~ *entitled to the overtime provisions* as described in the Fair Labor Standards Act.

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 ~~will face~~ *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. 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

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Workers Compensation Coverage

Policy Number: 12.23

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

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

Unit(s) Responsible for Policy Implementation: Environmental Health, Safety and Risk Management

Purpose of Policy (what does it do): Worker's Compensation Coverage information and requirements

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

- ☐ Scheduled Review ☒ Change in law ☒ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy: compliance with government codes and regulations

Specific rationale for each substantive revision:

Specific rationale for deletion of policy:

Additional Comments:

During the recent State Office of Risk Management audit we were notified of the changes for reporting an injury timelines and options to use or not use sick and annual leave when an employee needs to take off work for a work related injury.

Reviewers:

Director of EHSRM, Dr. Jeremy K. Higgins and Safety Officer Sonja Hendry-Witt
Danny Gallant, Vice President for Finance and Administration

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

Damon Derrick, General Counsel

Workers Compensation Coverage

Original Implementation: September 1, 1975

Last Revision: ~~January 26, 2016~~ January 30, 2018

All employees of the university are covered by the State Employees Worker's Compensation Act. All claims for benefits under this coverage are processed by the 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 ~~electronically~~.

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.* ~~All incidents must be reported within 24 hours or as soon as possible. If work is missed or immediate medical attention is required, the claim must be processed within 24 hours.~~ 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.* ~~the employee has 30 days to obtain medical treatment.~~ No claim is valid if reported more than 30 days after the incident.

*In accordance with Tex. Gov't Code § 661.909, e*Employees unable to work due to a worker's compensation injury, ~~are required~~ *have the option to use their accrued sick and/or annual leave. If all accrued sick leave is exhausted before the employee is approved to return to work by a certified Worker's Compensation Physician, the employee has the option of using all or a portion of their accrued vacation.* If the employee *chooses not to use any accrued sick or annual leave or has previously exhausted all sick leave and the elected amount of vacation*, 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 ~~Leave of Absence~~ *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); ~~Leave of Absence~~ *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

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Alcohol Service

Policy Number: 13.7

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

Date of last revision, if applicable: 1/1/2015

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Regulates the sale and service of alcohol on campus

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

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

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Reviewed with no changes recommended.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Sam Smith, Director of Student Services
Dr. Steve Westbrook, Vice President for University Affairs
Damon Derrick, General Counsel

Alcohol Service

Original Implementation: July 29, 2014

Last Revision: ~~January 27, 2015~~ January 30, 2018

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 student 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: President

Contact for Revision: President

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Asbestos Removal

Policy Number: 13.4

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): Establishes compliance with federal and state regulations related to asbestos management, training, maintenance, and removal in university buildings.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Major rewrite of the policy to better define a more clear purpose, policy statements, and university responsibilities. Applicable state and federal regulations have been added for reference. It is recommended that the name of this policy be changed from Asbestos Removal to Asbestos Management to more accurately represent the scope of the policy.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

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

Asbestos Removal Management

Original Implementation: July 12, 1988

Last Revision: ~~January 27, 2015~~ January 30, 2018

~~Stephen F. Austin State University provides for the training of certain university personnel, the establishment of an inspection and abatement program, and maintenance procedures relating to asbestos in university buildings and facilities. The university's objective is that all personnel who may work in an area with asbestos or materials which contain asbestos be informed of the history of asbestos, its past and present use, health effects, and remedial action necessary to meet current regulations and to maintain a safe work environment.~~

PURPOSE

The purpose of this policy is to ensure asbestos containing materials in Stephen F. Austin State University facilities are managed in accordance with current applicable regulations and to aid in protecting human health in the presence of asbestos within the university. To help achieve this goal, 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

~~A. Purpose~~ POLICY STATEMENTS

SFA shall:

1. *Establish and maintain an asbestos inspection and management program to ensure proper identification and management of asbestos containing materials in all university facilities.*

2. *Ensure identification and immediate removal or encapsulation of any asbestos-containing material that is in a friable state by ~~accredited~~ licensed, competent, and trained personnel.*
- ~~2. Strict enforcement of OSHA, EPA, NIOSH, NESAPHS, and the Texas Department of State Health Services regulations and guidelines to ascertain as well as possible that no one is exposed to an asbestos hazard.~~
- ~~3. Continuance of an on-going program to maintain asbestos-containing material in a safe condition and remove and/or encapsulate this material.~~
3. *Ensure compliance with all applicable federal and state regulations referenced above.*
4. *Provide awareness training to university employees who work in areas with asbestos containing materials notifying them of potential health effects and remedial action necessary to meet current regulations and to maintain a safe work environment.*

RESPONSIBILITIES

~~B. Asbestos Program Manager~~

1. *Asbestos Program Manager:*

The SFA Asbestos Management Planner (APM) 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:

- a) ~~1. The asbestos program manager (APM) or a certified asbestos consultant must~~ *Maintain a current ~~be~~ licensed issued by the Texas Department of State Health Services as an asbestos inspector and, management planner, and must planner by satisfactorily completing the appropriate training and examination administered by the Environmental Protection Agency, the Texas Department of State Health Services. The APM will stay abreast of all pertinent regulations regarding asbestos.*
- b) *Establish university policies and procedures for the proper management and removal of asbestos materials in accordance with above referenced regulations.*
- c) ~~2. The APM will~~ *Establish an asbestos awareness training program to be completed by all university employees who might reasonably be expected to come into contact with asbestos material during the performance of their university employment.*
- d) *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.*
- e) *Recommend response actions to maintenance personnel, contractors, and consultants based on the identification of asbestos in university facilities.*
- f) *Schedule and manage asbestos abatement projects conducted by licensed abatement and consultant contractors.*

- ~~3. Once completion of the initial training program has been conducted, supervisors will provide periodic reminders to employees of the employee's duty to inform their supervisor when any material containing asbestos becomes friable or may become friable due to daily wear and tear, roof leaks or maintenance.~~
- ~~4. Upon notification of building renovation, modification, or demolition, bulk samples will be taken, and records will be checked. If asbestos containing material is present, abatement will be scheduled.~~
- eg) ~~5. The APM will maintain two a current files, located remotely from each other and backed up daily on the university server, on all university buildings and facilities previously identified as containing any form of asbestos at 1% or above.~~
- h) *Obtain asbestos free certificates from contractors and engineers for all newly constructed facilities on campus.*

2. University Deans, Chairs, Directors, and Supervisors:

- a) *Ensure compliance with all current applicable regulations referenced above.*
- b) *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.*
- c) *Consult with EHSRM and the APM 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.*
- d) *Report to EHSRM or the APM any deteriorating building materials that are suspect for containing asbestos.*
- e) *Stop work activities when any suspected asbestos containing materials are discovered which were not previously inspected by the APM.*

3. University Employees:

- a) *Comply with all current applicable regulations referenced above.*
- b) *Attend all required trainings upon initial job assignment and refresher training annually.*
- c) ~~It will be the responsibility of each Stephen F. Austin State University employee to~~ *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 listed below are anticipated:-*
 - *a wall, ceiling, floor, or partition is to be penetrated, scored, drilled, refinished, or otherwise altered*
 - *pipe insulation is removed, damaged, or altered*
 - *boilers, chillers, hot water tanks, heat exchangers, valves, and piping are*

repaired, changed, or altered in a way that may affect the insulation

- ~~painting or~~ paint removal is done to a surface that could possibly contain asbestos

~~C. Implementation~~

~~1. If at any time an employee is working around suspect material, they are to stop immediately and notify their supervisor. The supervisor will notify the APM so that records may be researched and an approval to continue work may be secured. Under no circumstances is an employee to work in an unsafe condition or environment.~~

4. Contractors:

- a) ~~2.~~—Contractors working on university property must comply with the same guidelines listed above. In addition, contractors must secure approval from the APM prior to beginning work and must consult *with* the APM when any question or potential problem arises.
- b) ~~3.~~—Contractors must also provide an asbestos-free certification 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 ~~None~~

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: None

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Turner Auditorium

Policy Number: 16.30

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): The policy defines the conditions under which Turner Auditorium may be used.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: The changes in the policy were mostly grammatical to improve readability. However, the Dean of Fine Arts added a stipulation that the dean's approval is needed to reserve the auditorium as well as the number of times an entity may do so.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Academic Policy Committee
Steve Bullard, Provost and Vice President for Academic Affairs
Damon Derrick, General Counsel

Turner Auditorium

Original Implementation: May, 1987

Last Revision: ~~January 27, 2015~~ January 30, 2018

Auditorium Operating Policy

Scheduling and use of Turner Auditorium and its equipment are pursuant to *the policy on Use of University Facilities (16.33)*. The dean of the College of Fine Arts is the administrator of the facility and its operating policies. Nothing contained in this policy ~~wish~~ shall be construed to prohibit or hinder the operation of Turner Auditorium in pursuing the university's mission. All activities associated with that mission ~~wish~~ shall have priority in the use of this facility.

Priority of Users

Because Turner Auditorium is an academic and a performing arts facility, its use shall be restricted according to the following prioritized categories:

Category I - Events sponsored by the Schools of Art, Music, or Theatre; and other performance activities that are a necessary adjunct to academic programs in the College of Fine Arts.

Category II - Events that are a part of the University Series or the Children's Performing Arts Series (CPAS).

Category III - Events sponsored by ~~any~~ university academic units or organizations.

Category IV - Events sponsored by non-university groups subject to the regulations described herein.

Reservations Procedures

Reservations for all functions in Turner Auditorium are made through the office of the dean of the College of Fine Arts. *The dean may limit in advance, or reduce after receipt of reservations, the number of dates reserved by any entity, activity, or type of event. The dean may limit the duration and/or reject the date(s) of any reservation that is impractical for reasons such as safety, stage operations requirements, or excessive restriction of the auditorium's availability. All reservations require the dean's approval.* The dean will act as arbitrator in circumstances where scheduling conflicts cannot be resolved. Scheduling priorities will be given in accordance with the following procedures:

Category I - Events requiring the use of the auditorium for five days or longer have priority for reserving dates until October 1 of the previous academic year. Events requiring the use of the auditorium for fewer than five days have priority for reserving dates through October 31 of the previous academic year.

Category II - Events in this category have priority for reserving dates after November 1 and prior to January 1 of the previous academic year.

~~Categories~~ III and IV - Events in these categories may reserve available dates after May 1 of the previous academic year.

Events with Admission Charges

~~Categories~~ I and II ~~events~~ - If an event has an admission charge, the Fine Arts Box Office must deposit all proceeds into a university account according to business office procedures.

~~Categories~~ III and IV ~~events~~ - Admission pricing and procedures may be established by individual users for their events. Services of the Fine Arts Box Office are not available; nevertheless, university academic units must conform to university business practices and policies.

Jointly Sponsored Events

Jointly sponsored events (i.e., events where official university academic units and organizations jointly sponsor an event with a non-university group) may be scheduled only in accordance with the provisions of *the policy on Use of University Facilities* (16.33). Jointly sponsored events in Turner Auditorium are subject to the following regulations:

1. Only *university* entities ~~of SFA~~ (colleges, academic units, auxiliary offices) may jointly sponsor an event with a non-university group.
2. A jointly sponsored event must have approval from an academic unit chair/director, dean or vice president and have relevant educational objectives.
3. A written agreement between the university entity and the non-university group must be prepared in consultation with the ~~d~~Dean of the College of Fine Arts and the Turner facilities manager. This agreement must be signed by the appropriate authorities.
- ~~4.4.~~ *The Turner staff will work directly with the university sponsor rather than the non-university group. The university sponsor will be considered the producer of the event.*
- ~~3.5.~~ The university sponsor ~~will~~*shall* assume full responsibility for the event and all related charges, including costs for damages. ~~The Turner staff will work directly with the university sponsor rather than the non-university group. The university sponsor will be considered the producer of the event.~~
- ~~4.6.~~ All advertising, promotion, and announcements of the event must include the name of *the university*~~SFA~~, be approved by the university sponsor and conform to *the policy on University Publications* (15.8).
- ~~5.7.~~ The university sponsor ~~shall~~*will* assure ~~that~~ the use of Turner Auditorium does not result in private gain for the non-university group.

General Operating Regulations

1. No signs, messages or other materials may be posted, displayed, distributed, or announced in, on, or adjacent to Turner Auditorium ~~by the user or sponsor~~ without prior written approval by the dean of the College of Fine Arts. Such materials may not be fastened to any

part of the facility except in spaces provided for that purpose and may not be permitted to interfere with crowd movement and safety.

- 1.2. ~~Advertising~~—All news releases, handbills, advertisements, television and radio announcements or other media utilized to inform the public of a non-university event to be held in Turner Auditorium must be approved by *University Marketing Communications* ~~the public affairs office~~ and also must carry a disclaimer, approved by the university general counsel, ~~to the effect stating that the~~ use of Turner Auditorium does not imply endorsement of the event by the sponsoring organization or the university.
- 2.3. Safety regulations, as determined by the Turner staff and the university safety officer, will govern all areas of Turner Auditorium and the Griffith Fine Arts Building.
- 3.4. ~~The u~~ User organizations *are* responsible for the conduct of *their* representatives, members, and guests of the event while in the Griffith Fine Arts Building. Organizations with a history of conduct violations during previous use of Turner Auditorium may be denied subsequent use.
- 4.5. In accordance with *the policy on Smoking, Vaping and Use of Tobacco Products (13.21)*, ~~the university is a tobacco and vape free campus~~ *Griffith Fine Arts Building is a non-smoking facility and smoking is prohibited within 20 feet of any entrance/exit. In addition, the use of electronic cigarettes is prohibited in the auditorium.*
- 5.6. ~~Each u~~ Users *are* advised to make *their* policies regarding the taking of photographs and/or recordings clear to the audience.
- 6.7. Users must have prior written permission from the Turner staff to make any broadcasts, telecasts, master recordings, films, or transcripts of performances. If consent is given, the user organization will furnish and install all necessary equipment other than that provided by the Turner staff.
- 7.8. ~~The u~~ Users must specify hours of occupancy and may not have activities in the facility other than at those times. The Turner staff will be in attendance and will be paid ~~for~~ by the users during all specified hours, according to a schedule of fees kept in the dean's office.
- 8.9. Turner staffing levels ~~needed~~ *sh* will be determined by the ~~D~~ dean of the College of Fine Arts and the Turner facilities manager. A Turner technical crew *and house management are required* for all events ~~and house management when an audience is present are required~~. Any additional required personnel (ticket sellers/takers, ushers, etc.) ~~sh~~ will be provided by the users, at the users' expense.
- 2.10. Users may ~~employ~~ use their own crews for tasks *better* ~~more appropriately~~ understood by their personnel (music stand and chair setup, prop arrangements, etc.). These arrangements must be approved in advance by the ~~D~~ dean of the College of Fine Arts and Turner facilities manager. Such arrangements do not, however, release the users from the basic personnel charges identified in this policy.
- 3.11. Services ~~for an event performed~~ *provided* by the Turner staff outside scheduled occupancy ~~sh~~ will be paid ~~for~~ by the users. All university equipment will be operated by trained personnel employed by the university and/or approved by the Turner facilities manager.
- 4.—All users and sponsors ~~sh~~ will be responsible for payment ~~for~~ for damages to the facility, its fixtures and equipment, whether caused by the users, sponsors, or ~~its~~ patrons, with the exception of ordinary wear and tear.
- 5.12.
- 1.13. Pianos owned by *the university* ~~SEA~~ may be provided, according to the schedule of fees.

- ~~13.14.~~ Stage work ~~wi~~shall be done at the user's ' expense under the supervision of the Turner facilities manager. Approval must be secured for ~~user~~ organizations to employ their own personnel.
- ~~14.15.~~ Users must request equipment that may be deemed non-standard by the Turner facilities manager prior to signing the contract.
- ~~15.16.~~ Users must obtain approval from the Turner facilities manager before placing any equipment on the stage. All decorations ~~sh~~will be installed without defacing the building and ~~sh~~will be subject to the supervision and approval of the Turner facilities manager.
- ~~16.17.~~ ~~The User~~ organizations ~~sh~~will leave the stage and stage areas, including dressing rooms and access areas, clean and clear after the final performance. Any exception ~~to this~~ must be approved by the Turner facilities manager. If the stage is not cleared within the designated period, the Turner staff will employ a crew for which the users will pay. ~~A~~ Users will be released from further clean-up responsibility only after inspection by the Turner facilities manager.
- ~~2.18.~~ Additional charges will apply for custodial services required outside regularly scheduled housekeeping hours.
- ~~3.19.~~ ~~The User~~ organizations ~~sh~~will not allow beverages, food, gum, or refreshments ~~of any kind~~ to be sold, brought into, or served in Griffith Fine Arts Building. No refreshments ~~sh~~will be taken onto the stage, into the backstage areas, or into the auditorium ~~at any time~~. Exceptions must be approved by the Turner facilities manager.
- ~~4.20.~~ Should an event be canceled within three weeks before the scheduled performance, a cancellation fee will be charged to the users ~~according~~ *according to* the schedule of fees.
- ~~5.21.~~ House doors open thirty (30) minutes before curtain time. The house manager starts the performance.
- ~~6.22.~~ ~~Any User~~s whose technical or house crew fails to operate and maintain the facility according to the stated operating regulations ~~sh~~will be required to employ Turner staff for future events, or may forfeit future use.

Cross Reference: Use of University Facilities (16.33); University Publications (15.8); Smoking, Vaping and Use of Tobacco Products (13.21)

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Dean of the College of Fine Arts

Forms: Reservation Form, Schedule of Fees

Board Committee Assignment: Building and Grounds

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Historically Underutilized Businesses

Policy Number: 17.7

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

Date of last revision, if applicable: 1/27/2015

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

Purpose of Policy (what does it do): The policy exists to comply with Gov't Code 2161 and to address the university's HUB program.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Reviewed with no changes recommended.

Specific rationale for deletion of policy:

Additional Comments:

.

Reviewers:

Kay Johnson, Director of Procurement and Property Services/ HUB Coordinator
 Danny Gallant, Vice President for Finance and Administration
 Damon Derrick, General Counsel

Historically Underutilized Businesses

Original Implementation: August 2, 1994

Last Revision: ~~January 27, 2015~~ January 30, 2018

Stephen F. Austin State University adopts the state comptroller's rules outlined in 34 Tex. Admin. Code §§ 20.44281-.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.

The director of ~~P~~procurement and ~~P~~property ~~S~~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 following 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 § 20.28413(d). 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 § 20.44285.

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 §§ 20.4281-.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

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Investments

Policy Number: 3.21

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): Provides guidelines for the investment of public funds which are in the custody of the university

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No substantive changes. Scope - added reference to Endowment policy number; addition of Director of Administrative Services to Investment Authority and Investment Responsibilities throughout.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Investments

Original Implementation: April 30, 1996

Last Revision: ~~January 31, 2017~~ January 30, 2018

Policy Statement

Stephen F. Austin State University invests the public funds in its custody with primary emphasis on the preservation and safety of the principal amount of the investment. 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.

Scope

This policy establishes rules for the investment of all university funds that are governed by Chapter 2256 of the Texas Government Code known as the Public Funds Investment Act, and certain portions of the Texas Education Code. Endowment funds are invested in accordance with ~~a separate~~ policy 3.20, *Investments – Endowment Funds*, approved by the Board of Regents (board) *annually*. Quasi-endowment funds that are considered to be public funds will be governed by this policy.

Objectives

The foremost objective of all investment decisions shall be safety of principal. All investments must be undertaken with the fiduciary responsibility associated with that of a reasonable and prudent person. Investments must be in accord with Texas law. Investment maturity must be diversified to match the university's liquidity requirements. Investments shall incur no unreasonable risk in order to maximize potential income. Investments shall remain sufficiently liquid to meet all reasonably anticipated operating requirements.

Investments may be diversified in order to respond to changing economic and/or market conditions.

No investments within the portfolio or investment practices conducted to effect investment activities shall violate the terms of this policy.

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.

Investments may be categorized and described as:

- A. Short Term - less than 90 days: Funds needed to meet short term operating requirements normally will be invested in either investment pools or overnight sweep accounts established with banking institutions. The benchmark is the average three-month Treasury Bill yield.
- B. Intermediate Term - 90 days to one year: United States Treasury and Agency securities, United States Agency Discount Notes are the primary investment vehicles. United States Treasury securities are preferable because of their low risk and the ease with which they are traded. The benchmark is 95 percent of the average one-year Treasury Bill yield.
- C. Long Term - over one year: United States Treasury and Agency securities are the primary investment vehicles. The 30 Year Treasury Bond rate is the benchmark for long term funds.

The length of time for investments within this policy will vary according to needs.

Investment Authority

The vice president for finance and administration, ~~the~~ *and* director of financial 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, ~~or the~~ director of financial 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 another 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 director of financial 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. 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, the investment will be liquidated as soon as prudently possible. Authorized securities include:

- A. obligations, including letters of credit, of the United States of America, or its agencies and instrumentalities;
- B. direct obligations of the state of Texas or its agencies and instrumentalities;
- C. collateralized mortgage obligations directly issued by a federal agency or instrumentality of the United States of America, the underlying security for which is guaranteed by an agency or instrumentality of the United States of America;
- D. other obligations, the principal 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 of America or their 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. certificates of deposit and share certificates issued by a depository institution that conforms to Section 2256.010 of the Texas Government Code.
- G. fully collateralized repurchase agreements that conform to Section 2256.011 of the Texas Government Code;
- H. bankers' acceptances that conform to Section 2256.012 of the Texas Government Code;
- I. commercial paper that conforms to Section 2256.013 of the Texas Government Code;
- J. 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;
- K. guaranteed investment contracts that conform to Section 2256.015 of the Government Code;
- L. investment pools that conform to Sections 2256.016 and 2256.019 of the Government Code;
- M. cash management and fixed income funds sponsored by organizations exempt from federal income taxation under Section 501(f), Internal Revenue Code of 1986 (26 U.S.C. Section 501(f));
- N. negotiable certificates of deposit issued by a bank that has a certificate of deposit rating of at least 1 or the equivalent by a nationally recognized credit rating agency or that is associated with a holding company having a commercial paper rating of at least A-1, P-1, or the equivalent by a nationally recognized credit rating agency;
- O. 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

- A. obligations whose payment represents the coupon payments on the outstanding principal balance of the underlying mortgaged-backed security collateral and pay no

- principal;
- B. obligations whose payment represents the principal stream of cash flow from the underlying mortgage-backed security collateral and bear no interest;
 - C. collateralized mortgage obligations that have a stated final maturity date of greater than 10 years; and
 - D. collateralized mortgage obligations with an interest rate determined by an index that adjusts in an opposite direction to the change in a market index.

Diversification

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

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 weighted average duration 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 director of financial services *or the director of administrative services*. Collateral shall be reviewed monthly by the controller and *the director of financial 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 of America;
- 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 of America, the underlying security for which is guaranteed by an agency or instrumentality of the United States of America. 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.

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.

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 director of financial 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 Public Funds Investment Act, within a reasonable time after the end of the quarter. The reports must:

- (A) describe in detail the investment position of the university on the date of the report;
- (B) be prepared by the investment officer(s) of the university;
- (C) be signed by the investment officer(s) of the university;

- (D) contain a summary statement of each pooled fund group that states the:
 - (1) beginning market value for the reporting period;
 - (2) ending market value for the period; and
 - (3) 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 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, an investment officer of an entity who has a personal business relationship with a business organization offering to engage in an investment transaction with the entity shall file a statement disclosing that personal business interest. An investment officer who is related within the second degree by affinity or consanguinity, as determined under Chapter 573, to an individual seeking to sell an investment to the investment officer's entity shall file a statement disclosing that relationship. A statement required under this subsection must be filed with the Texas Ethics Commission and the governing body of the entity. For purposes of this subsection, an investment officer has a personal business relationship with a business organization if:

- (1) the investment officer owns 10 percent or more of the voting stock or shares of the business organization or owns \$5,000 or more of the fair market value of the business organization;
- (2) funds received by the investment officer from the business organization exceed 10 percent of the investment officer's gross income for the previous year; or
- (3) the investment officer has acquired from the business organization during the previous year investments with a book value of \$2,500 or more for the personal account of the investment officer.

Training

Each member of the board and the investment officer(s) will obtain investment training as required by Section 2256.007 of the Texas Government Code. Training for the investment officer(s) will be conducted by an organization or firm that is approved by the Texas Higher Education Coordinating Board.

Audits

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

Investment Policy Adoption and Certification

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

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

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, *director of financial services*, or director of ~~administrative financial~~ 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, director of financial 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 director of financial 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.

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Investments - Endowment Funds

Policy Number: 3.20

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

Date of last revision, if applicable: 1/31/2017

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

Purpose of Policy (what does it do): Provides guidelines for the investment of endowed funds in the custody of the university

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: no substantive changes; addition of director of administrative services

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Investments - Endowment Funds

Original Implementation: Unpublished

Last Revision: ~~January 31, 2017~~ January 30, 2018

GENERAL

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

The investment of endowment funds is governed by Section 51.0031 of the Texas Education Code. This section states that the university "... with regard to donations, gifts and trusts, may establish endowment funds that operate as trusts and are managed under prudent person standards... As used in this section, 'prudent person standard' is the standard of care described in Article VII, Section 11b, of the Texas Constitution, and means that standard of judgment and care that 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."

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.

This Investment Policy Statement (IPS) applies to all Stephen F. Austin State University (the university) endowment funds, including those that function as endowments, and are not considered to be public funds. The IPS states the boards' attitudes, goals and objectives in the investment of the endowment assets. As such, it is intended to provide guidance to the board, the finance committee, the university administration, and the investment consultant(s)/managers in the management of the endowment assets. The IPS clearly and concisely states the responsibilities of all parties involved with the endowment funds.

INVESTMENT OBJECTIVES

The overall objective of the IPS is to assure that the university's endowment funds are invested in a manner to achieve as high a level of return as can reasonably be expected to be achieved given the primary objective of safety and preservation of principal. 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 and higher current income 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 is willing to trade-off some potential opportunities for gain from high-risk investments (with high loss potential) by assuming a moderate-risk posture in order to have a more stable positive return. This may result in sacrificing some potential opportunities for gain during rising markets in order to avoid large short term declines in market value during falling markets. Since the university is 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.

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.

Funds Functioning as 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 at any time to expend principal.

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.

RESPONSIBILITY AND DELEGATION OF AUTHORITY

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), ~~and the~~ director of financial services, ~~and the director of administrative services~~ are designated as the investment officers for the university. ~~As such,~~ ~~†~~ 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 the IPS.

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 IPS 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 the IPS 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.

PermissibleAuthorized Investments

- 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 foreign companies listed on the major U.S. or foreign 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.

Prohibited 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 or 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, and
- 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, foreign 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 IPS guidelines and investment procedures. Exceptions to this policy are securities described by sections (a), (b) and (c) of the investment guidelines. Such securities may be held so long as the asset allocation ranges are maintained.

FUNDS FUNCTIONING AS (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 may be governed by this policy.

DISTRIBUTION POLICY

The spending policy should balance the long-term objective of maintaining the purchasing power ~~to~~ 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:

1. 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
2. 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.

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

Responsible for Implementation: Vice President for Finance and Administration

Contact for Revision: Vice President for Finance and Administration

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Professional and Consulting Services

Policy Number: 17.12

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

Date of last revision, if applicable: 1/27/2015

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): The policy exists to comply with Gov't code 2254 and Education code 51.9335 and provides direction for procurement processes related to professional and consultant services.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Reviewed with no changes recommended.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Kay Johnson, Director of Procurement and Property Services/HUB Coordinator
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Professional and Consulting Services

Original Implementation: October 26, 1999

Last Revision: ~~January 27, 2015~~ January 30, 2018

DEFINITIONS

Professional services means those services within the scope of the practice, as defined by state law, of:

1. accounting
2. architecture
3. landscape architecture
4. land surveying
5. medicine
6. optometry
7. professional engineering
8. real estate appraising
9. professional nursing

or those services provided in connection with the professional employment or practice of a person who is licensed or registered as

1. a certified public accountant
2. an architect
3. a landscape architect
4. a land surveyor
5. a physician, including a surgeon
6. an optometrist
7. a professional engineer
8. a state certified or state licensed real estate appraiser
9. a registered nurse

Consulting service means the service of studying or advising a state agency under a contract that does not involve the traditional relationship of employer and employee.

A consultant may be used only if there is a substantial need for the consulting services and only if the agency cannot adequately perform the services with its own personnel or obtain the consulting services through a contract with a state governmental entity.

Major consulting services contract means a consulting services contract for which it is reasonably foreseeable that the value of the contract will exceed \$25,000. The \$25,000 threshold is not a one-time cost, but rather a cumulative amount for on-going consulting services.

Consultant means a person that provides or proposes to provide a consulting service. The term includes a political subdivision but does not include the federal government, a state agency, or a state governmental entity.

SELECTION OF A PROVIDER

Professional or consulting services contracts may require Board of Regents approval. Reference Items Requiring Board of Regents Approval (1.4). Submission of a requisition is required, and other purchasing procedures may apply.

Subject to the provisions below, professional or consulting service solicitations greater than \$25,000 will be posted on the electronic state business daily unless procurement determines that no value is added by the posting.

Professional Services

A **professional service provider** is not to be selected on the basis of competitive bid but rather 1) on the basis of demonstrated competence and qualifications to perform the services; and 2) a fair and reasonable price, as long as professional fees do not exceed any maximum provided by law. Architectural, engineering, or land surveying services must be procured in the following manner:

1. Select the most highly qualified provider based on demonstrated competence and qualifications;
2. Attempt to negotiate a contract with the selected provider at a fair and reasonable price;
3. If a satisfactory contract cannot be negotiated with the most highly qualified provider, formally end negotiations with that provider; select the next most highly qualified provider; and attempt to negotiate a contract at a fair and reasonable price. The selection process for architectural, engineering, or land surveying services shall continue in this manner until a contract is accepted by all parties.

If a solicitation will enhance the selection process for professional services, contact the procurement director to discuss options for making informal price comparisons or preparing a formal request for proposal or request for qualifications.

Consulting Services

If **consulting services** are not purchased using processes allowed under Best Value Procurement (17.1), the following steps must be completed and documented.

An invitation for consultants to provide offers on major consulting services contracts must be submitted to the secretary of state for publication in the Texas Register for a minimum of 30 days prior to entering into the contract. The published invitation must include a finding and

explanation by the president that the consulting services are necessary. Contact the procurement director or general counsel's office for assistance in completing the Major Consulting Contract Request form.

Not later than the 20th day after the date in which a major consulting contract is entered into by the university, the university shall file with the secretary of state for publication in the Texas Register: a description of the activities that the consultant will conduct; the name and business address of the consultant; the total value and the beginning and ending dates of the contract; and the dates on which any document, films, recording or reports required of the consultant are due.

All renewals, amendments, and extensions of a major consultant contract shall follow any procedures for posting in the Texas Register as required by applicable law.

Upon submittal of an offer by a private consultant to provide consulting services to SFA, any officer or employee shall report to the president within 10 days of receipt of the offer: 1) any financial interest that the officer or employee has in the private consultant, or 2) any financial interest in the private consultant of anyone related to the officer or employee within the second degree by consanguinity or affinity as determined under Texas Government Code Chapter 573. Reference Texas Government Code Section 2254.032 and Ethics (2.6).

RESTRICTIONS ON HIRING FORMER OR RETIRED EMPLOYEES

Contracting with a former employee or retiree for professional or consultant services is prohibited on state funds within 12 months of the employee's separation date from the university. The use of local funds is allowed within 12 months of the employee's separation date with prior approval of the director of procurement and property services, director of human resources, and general counsel.

If a past employee or retiree is hired as a consultant within 2 years of leaving SFA or any other state agency, the consultant must disclose in his/her offer the following information: a) nature of employment at the agency; b) the date employment was terminated; c) the annual rate of compensation at termination. This requirement does not apply to professional services.

Contracting for professional services with a company employing a former employee or retiree within 12 months of the employee's separation date from the university is allowed only if the former or retired employee does not work on a project that is similar to his/her duties while employed by SFA.

Cross Reference: Tex. Educ. Code § 51.9335; Tex. Gov't Code § 2252.901; Tex. Gov't Code Ch. 2254; Tex. Gov't Code Ch. 573; Nepotism (11.16); Ethics (2.6); Items Requiring Board of Regents Approval (1.4); Purchase Requisition (17.19)

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: Major Consulting Contract Request Form

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Purchase of Electronic and Information Resources

Policy Number: 17.16

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

Date of last revision, if applicable: 1/27/2015

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): The policy exists to comply with state law regarding the purchase of electronic and information technology.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Minor wording changes and corrected policy reference.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Kay Johnson, Director of Procurement and Property Services/ HUB Coordinator
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Purchase of Electronic and Information Resources

Original Implementation: July 21, 2009

Last Revision: ~~January 27, 2015~~ January 30, 2018

~~All~~ Electronic and information resources (EIR) developed, procured or changed by an institution of higher education shall comply with the standards and specifications of Chapter 206 and/or Chapter 213 of Title 1 of the Texas Administrative Code (TAC), Part 10 unless an exception is approved by the university president in accordance with ~~Chapter~~ Section 213.37.

The term "electronic and information resources" as used in this policy refers to the definition in 1 TAC 213.1(6) 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 213.34. 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.

The ~~procurement~~ purchase of any EIR shall include the requirement to secure documentation from the vendor providing accessibility information and/or credible evidence of the vendor's capability or ability to produce accessible EIR products and services as required by 1 TAC 213.38(b). Additionally, for purchases with development costs exceeding \$1 million, accessibility testing may be required.

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 additional* expense, then the department will complete an Electronic and Information Resources (EIR) Accessibility Exception Request for review by the university's electronic accessibility committee and the university general counsel and approval by the president. *Reference Accessibility of Electronic Information Resources (16.9)*. Any approved exception will contain the information required in 1 ~~Tex. Admin. Code~~ TAC § 213.37 (3).

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* ~~Electronic Accessibility~~ (16.9)

Responsible for Implementation: President

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

Forms: Electronic and Information Resources (EIR) Accessibility Exception Request

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Purchase Requisition

Policy Number: 17.19

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): Explains to the campus community that the Purchase Requisition is normally used to purchase goods or services.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Informs the reader that exceptions to the use of a Purchase Requisition can be found in Purchase Voucher (17.20) and Delegated Purchasing Authority (17.5).

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Purchase Requisition

Original Implementation: Unpublished

Last Revision: ~~July 28, 2015~~ January 30, 2018

A Specific requests by a department to purchase goods or services begins with the completion of an electronic Purchase Requisition (*requisition*). ~~that must be approved by the account manager or his/her designee.~~

Once initiated, the requisition is routed for appropriate approvals based on the commodity or funding source. This automated Requisition approvals queue for requisitions is built and maintained in the university's financial system by the procurement office. In addition to departmental approvals, other conditional approvals are in place based on the commodity or funding source.

Electronic requisitions are submitted following the guidelines outlined in the Procurement Requisitions, Approvals and Receiving Manual. Purchase orders may be created without a requisition, at the discretion of the ~~purchaser~~ *procurement office*. When a purchase order is created without a requisition, the department ~~will~~ *may* be notified by email that the purchase order has been ~~charged~~ *created on to its* their account.

~~It is the responsibility of the end user to provide technical support in the preparation of specifications and in the evaluation of solicitations. If review of solicitation responses prior to award is specifically desired, include a comment to this affect in document text on the "Purchase Requisition".~~

Requisition processing within the procurement ~~office~~ *department* differs depending upon source of funds, dollar value, the type of good or service being acquired, and department need. See Best Value Procurement (17.1).

~~Exceptions to the use of a requisition, other than those listed above, are detailed in Purchases from agency accounts may not be submitted on a purchase requisition. See Purchase Voucher (17.20) and Delegated Purchasing Authority (17.5).~~

Cross Reference: Best Value Procurement (17.1); Purchase Voucher (17.20); *Delegated Purchasing Authority (17.5).*

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: None

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Purchase Voucher

Policy Number: 17.20

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

Date of last revision, if applicable: 7/28/2015

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

Purpose of Policy (what does it do): Purchases for goods or services are required to be processed in accordance with Delegated Purchasing Authority. Most university purchases are initiated through the Purchase Requisition or Procurement Card process, but when neither of these methods is appropriate, payments may be initiated on a purchase voucher.

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

- ☒ Scheduled Review ☐ Change in law ☐ Response to audit finding
- ☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: Updates the detailed list of the types of payments that may be made on a purchase voucher instead of a purchase requisition. Allows additions to the list only upon written approval by both the controller and director of procurement and property services or his/her designees, and with an explanation justifying the decision. This should ensure that purchases receive the appropriate approvals and meet procurement guidelines.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Purchase Voucher

Original Implementation: September, 1990

Last Revision: ~~July 28, 2015~~ January 30, 2018

~~Except as specified herein, p~~Purchases for goods or services are *required* to be processed in accordance with Delegated Purchasing Authority (17.5). *Most university purchases, other than those related to travel, are initiated through the Purchase Requisition (17.19) or Procurement Card (17.11) (P-Card) process. However, in instances where neither of these methods is appropriate, P*payments ~~that do not involve a purchase requisition~~ may be initiated on a purchase voucher. *The purchase voucher is available on the SFA business forms website. The following types of payments may be made on a purchase voucher instead of a purchase requisition and include, but are not limited to, the following:*

1. Overnight mail services (no *purchase* voucher required if using the procurement office preferred vendor contract)
2. Licensing fees (except software licensing fees)
3. Notary bonds
4. ~~Non-student R~~refunds of monies paid to SFA
- ~~4.5.~~*Student tuition rebates in accordance with Tuition Rebate (6.21)*
- ~~5.6.~~*Postage (with president's approval in accordance with Mail Services (16.16))*
- ~~6.7.~~*Prepayment of registration fees for business conferences, workshops and seminars (these may also be paid with the Travel Card (T-eCard) (3.30) or Procurement Card (17.11)) or P-card)*
8. ~~Legal S~~ettlements ~~agreements~~
9. *Purchases from agency funds in accordance with Agency Funds (3.1) (processed on a Request for Disbursement from an Agency Account, available on the SFA business forms website)*
10. *Employee payroll deductions and employee benefits-related expenses*
11. *Audit costs charged by a state or federal government agency*
12. *Employee call-back mileage reimbursements*
13. *Employee mileage reimbursements not processed through the travel office*
14. *Athletic meal money for players while in Nacogdoches when SFA student dining facilities are closed*
15. *Cash advances for official visits of potential student-athletes in accordance with National Collegiate Athletic Association (NCAA) guidelines for recruiting*
16. *University's bookseller vendor charges for student scholarships*
- ~~7.17.~~ *Establishment or replenishment of a change fund (with prior approval from the controller's office)*

Any addition to the above list must be approved in writing by both the controller and the director of procurement and property services or his/her designees, and with an explanation justifying the decision.

Employee reimbursements for non-travel related expenses should be processed as a purchase requisition to ensure that the purchase has the appropriate approvals and meets other

procurement guidelines.

~~The purchase voucher form is available on the SFA business forms website.~~

Payments that are inappropriately initiated on a purchase voucher will be returned to the originating department for proper processing through the procurement office.

Cross Reference: Delegated Purchasing Authority (17.5); Purchase Requisition (17.19);
Procurement Card (17.11); Tuition Rebate (6.21); Mail Services (16.16); Travel Card (T-Card)
(3.30); Agency Funds (3.1)

Responsible for Implementation: Vice President for Finance and Administration

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

Forms: Purchase Voucher; *Request for Disbursement from an Agency Account*

Board Committee Assignment: Finance and Audit

STEPHEN F. AUSTIN
STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Risk Management

Policy Number: 13.19

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

Date of last revision, if applicable: 12/1/2017

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

Purpose of Policy (what does it do): guidelines and practical approaches for the reduction of risk on campus

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

- ☐ Scheduled Review ☐ Change in law ☒ Response to audit finding
☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No substantive revisions

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Safety Officer Sonja Hendry-Witt
Director of EHSRM, Dr. Jeremy K. Higgins
Danny Gallant, Vice President for Finance and Administration
Damon Derrick, General Counsel

Risk Management

Original Implementation: August 2, 1994

Last Revision: ~~April 14, 2015~~ January 30, 2018

The administration of Stephen F. Austin State University recognizes the significance of providing a safe working and teaching environment for both employees and students. 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. Policies and procedures address controlling the total cost of risk while meeting the goals of conserving the physical and financial resources of the institution. 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.

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.

RISK MANAGEMENT PLAN

Loss or claim reporting procedures

I. 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).

II. 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 (EHS&RM) by the department supervisor. EHS&RM will file the necessary paperwork for insurance claims.

III. Students and Visitors

- A. Occurrence: 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 EHS&RM is notified. UPD will submit incident or accident reports to the ~~Environmental Health, Safety, and Risk Management Department~~ EHSRM.
- B. The appropriate vice president is notified of all incidents that involve a contractor, vendor, student, or visitor.
 1. Once all of the facts have been documented, the general counsel is notified.
 2. Employees are advised to discuss the case with no one until consulting with the general counsel.
 3. No statements are made admitting liability or authorizing medical treatment unless cleared through the general counsel.
 4. 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 AND LOSS PREVENTION

I. Safety Communication Network

~~The University Environmental Health, Safety and Risk Management Department (EHS&RM)~~ is charged with the general oversight of the university safety program. Communication channels that connect each area of the university with ~~the EHS&RM Department~~ are necessary for an effective safety program. Each division of the university shall designate a safety representative or representatives who will act as the liaison(s) between the division and the ~~EHS&RM Department~~. 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 ~~Environmental Health, Safety, and Risk Management EHSRM~~ website.

II. Safety Management

There are varying risks associated with activities and occupations at a university. ~~The Environmental Health, Safety and Risk Management Department 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.

III. Instructional Program

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.

IV. Monitoring

~~The EHS&RM Department~~ will update or modify the Health and Safety Manual as needed. EHS&RM will be charged with the responsibility of reviewing problem areas such as recurring injuries, accidents or safety violations.

V. 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 Environmental Health, Safety and Risk Management* website.

VI. Insurance

- A. The purchase and renewal of insurance are the responsibility of the vice president for finance and administration.
- B. The vice president of finance and administration and the campus risk manager will evaluate campus risks of loss and insurance needs.
- ~~B.C.C.~~ 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 ~~the EHS&RM Department~~.

D. Insurance Claims:

- 1. Any incident that may be covered by insurance must be reported to *EHSRM* ~~the Environmental Health, Safety and Risk Management Department~~ so that the incident may be evaluated and reported to the appropriate insurance carrier; and
- 2. The Office of the General Counsel will be notified of all claims and consulted for guidance.

VII. Employee Indemnification

Employees are indemnified within the course and scope of employment, ~~to the extent provided by state law. Refer to Chapter 104, Civil Practice and Remedies, Vernon's Texas Codes Annotated.~~ *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