Board of Regents Meeting

November 7, 2019

Midwestern State University Campus
3410 Taft Boulevard
Hardin Administration Building, J.S. Bridwell Hall
Wichita Falls, 76308
Board Book - November 2019 Board of Regents Meeting

November 7, 2019

Reference Pages

Board of Regents Meeting Schedule Page 6
Board of Regents Membership and Committee Assignments Page 7
MSU Administration Page 8
THECB Online Resume Fall 2018 Page 10
MSU and Higher Education Acronyms Page 11
Campus Map Page 14

Committee of the Whole

Agenda - Committee of the Whole Page 15

Enrollment Management, Academic, and Student Affairs

Agenda - Enrollment Management, Academic, and Student Affairs Matters Page 16
Athletics Report

Athletics Report Page 20

Enrollment Management Report

Enrollment Report - Fall 2019 Page 21

December 2019 Graduating Class

December 2019 Candidates for Graduation Page 22
Addition of Academic Degree Program - Master of Arts in Biology with Biomedical Emphasis

Master of Arts in Biology with Biomedical Emphasis Page 29

Finance and Facilities

Agenda - Finance and Facilities Matters Page 30

Summaries of Financial Support and Comprehensive
### Campaign Update

- Comprehensive Campaign Comparison of New Gifts and Commitments [Page 34]
- Year by Year Comparison - Monthly Cumulative Number of Donors [Page 36]
- Year by Year Comparison - Monthly Number of Gifts [Page 37]
- Donor Designation of Gifts - September 2019 [Page 38]
- Sources of Donors - September 2019 [Page 39]
- Faculty Staff Campaign Participation Rates [Page 40]
- Alumni Association Yearly Membership Statistics [Page 41]
- Legacy Society Update Through 9/30/19 [Page 42]

### University Branding Efforts

- University Branding Efforts Presentation [Page 43]

### Legacy Walk Recommendations

### Quasi-Endowment Fund Reports - FY 19

- Frank and Nancy Harvey Student Development Quasi-Endowment Fund Report - FY 19 [Page 52]
- Redwine Estate Quasi-Endowment Fund Report - FY 19 [Page 53]

### Financial Reports

- Financial Report Summary [Page 54]

### Investment Report

- Investment Report Summary [Page 64]
- Complete Quarterly Investment Report for Fourth Quarter ended 8/31/19 [Page 65]

### Salary/Title/Position Changes in FY 19 Budget

- Summary of Personnel Changes FY 19 [Page 83]
- Personnel Status Report 7/31/19 [Page 84]
Personnel Status Report 8/31/19 Page 85
List of Personnel Changes July Through August, 2019 Page 86

Salary/Title/Position Changes in FY 20 Budget
Summary of Personnel Changes FY 20 Page 88
Personnel Status Report 9/30/19 Page 89
List of Personnel Changes September, 2019 Page 90

Campus Construction
Construction Status Update Page 91
Board-Approved Construction Projects/Funding Status Page 93
Project Status Report Page 94
Construction Update Presentation Page 95

MSU Deferred Maintenance Reports - Campus Condition Index
THECB Summary Report of Deferred Maintenance Data Page 112
FY 19 Deferred Maintenance Expenditures Page 113
FY 20-24 Deferred Maintenance List Page 115

Audit, Compliance, and Management
Agenda - Audit, Compliance & Management Matters Page 117
Compliance Update
Compliance Update Page 120
Audit Update
Internal Audit Update Page 122
Internal Audit Annual Report
Internal Audit Annual Report FY 19 Page 123
Public Funds Investment Act Audit Report 20-01
Public Funds Investment Act Audit Report 20-01 Page 142
Office of Internal Audits Charter
Office of Internal Audits Charter

Modification of Midwestern State University Organization Chart

MSU Organization Chart Effective 10/1/19

Statement of Expectations of the Members of the Board of Regents

Statement of Expectations of the Members of the Board of Regents

Rules and Regulations of Midwestern State University

Rules and Regulations of Midwestern State University


Policy UPP 2-510 Protection of Human Subjects in Research

NEW Policy UPP 2-515 Protection of Animals in Research

Policy 3.317 - Academic Emeritus Status - Faculty and Administration

Policy 3.318 Staff Emeritus Status

NEW Policy UPP 3-420 Reporting Abuse and Neglect of Child, Elder, or Disabled Person

NEW Policy UPP 3-470 Chemical Safety

Board Matters

Agenda - Board Matters

University Dashboard Update

Minutes

Board of Regents Meeting Minutes - August 1, 2019
Midwestern State University

Board of Regents Meeting

Schedule

Meeting Location

Midwestern State University
3410 Taft Boulevard
Hardin Administration Building
J. S. Bridwell Board Room
Wichita Falls, Texas 76308

Thursday, November 7, 2019

10:30 a.m.  Meeting Begins
12:00 p.m.  Lunch Recess
12:45 p.m.  Meeting Resumes
MIDWESTERN STATE UNIVERSITY
BOARD OF REGENTS

R. Caven Crosnoe, Chair
Nancy Marks, Vice Chair
Tiffany D. Burks, Secretary
Warren Ayres
Tony Fidelie
Shawn Hessing
Oku Okeke
Karen Liu Pang
Shelley Sweatt, Ed.D.
Andrew W. Wolf, Student Regent

Board Committee Assignments

Executive Committee (elected positions)
Caven Crosnoe, Chair
Nancy Marks, Vice Chair
Tiffany Burks, Secretary
Shelley Sweatt, Member-At-Large

Enrollment Management, Academic, and Student Affairs Committee
Nancy Marks, Chair
Oku Okeke
Shelley Sweatt
Andrew Wolf (Ex-Officio)

Finance and Facilities Committee
Warren Ayres, Chair
Tony Fidelie
Shawn Hessing

Audit, Compliance, and Management Committee
Tiffany Burks, Chair
Karen Liu Pang
Caven Crosnoe
Dr. Suzanne Shipley, President
   Ms. Debbie Barrow, Director, Board and Government Relations and Secretary of the University
   Ms. Leigh Kidwell, Chief Audit Executive
   Mr. Barry Macha, General Counsel

Dr. James Johnston, Provost and Vice President for Academic Affairs
   Dr. Margaret Brown Marsden, Dean, McCoy College of Science, Mathematics and Engineering
   Dr. Martin Camacho, Dean, Lamar D. Fain College of Fine Arts
   Dr. Matthew Capps, Dean, Gordon T. and Ellen West College of Education
   Dr. Steve Garrison, Director, Redwine Honors Program
   Dr. Jeffrey Killion, Dean, Robert D. and Carol Gunn College of Health Sciences and Human Services
   Dr. Clara Latham, University Librarian
   Dr. Pam Morgan, Director, Academic Outreach and Distance Education
   Ms. Tracee Robertson, Director, Wichita Falls Museum of Art at MSU
   Dr. Jeff Stambaugh, Dean, Dillard College of Business Administration
   Dr. Samuel E. Watson, III, Dean, Prothro-Yeager College of Humanities and Social Sciences
   Dr. Kathryn Zuckweiler, Dean, Dr. Billie Doris McAda Graduate School
   Dr. Kristen Garrison, Associate Vice President for Academic Affairs
      Dr. Lisa Estrada-Hamby, Director, Student Support Services
      Ms. Ashley Hurst, Director, Tutoring and Academic Support Programs (TASP)
      Dr. Melissa Nivens, Administrator, University Writing Program
      Dr. Magaly Rincón-Zachary, Director, Undergraduate Research

Dr. Beth Reissenweber, Vice President for Administration and Finance
   Ms. Dawn Fisher, Director, Human Resources
   Mr. Jim Hall, Chief Information Security Officer
   Ms. Valerie Maxwell, Director, Budget and Management
   Ms. Tracy Nichols, Director, Purchasing and Contract Management
   Mr. Kyle Owen, Associate Vice President for Facilities Services
      Mr. David Percy, Director, Construction Services
   Ms. Kathy Rice, Director, Payroll
   Dr. David Sanchez, Chief Information Officer
   Mr. Chris Stovall, Controller

Dr. Keith Lamb, Vice President for Student Affairs
   Mr. Randy Canivel, Director, Flower Mound Site
   Mr. Patrick Coggins, Chief, University Police
   Ms. Rachael Fornof, Director/Coordinator, Title IX
   Mr. Marcus Jones, Interim Director, MOSAIC Cross Cultural Center
   Ms. Debra Higginbotham, Director, Disability Support Services
   Mr. A. J. Lopez III, Manager, Digital Marketing and Social Media
   Dr. Michael Mills, Director, Global Education Office
   Ms. Kristi Schulte, Director, Residence Life and Housing
      Mr. Jon Lane, Postal Services Supervisor
   Dr. Keith Williamson, Medical Director, Vinson Health Center
   Mr. Matthew Park, Associate Vice President for Student Affairs and Dean of Students
      Ms. Cammie Dean, Director, FIRST2GO and the Priddy Scholars Program
Dr. Pam Midgett, Director, Counseling Center
Mr. Dail Neely, Director, Student Rights and Responsibilities
Mr. Mario Ramirez, Director, Student Leadership and Involvement
Ms. Angie Reay, Director of Recreational Sports/Wellness Center
Mr. Dirk Welch, Director, Career Management and Testing Services

Mr. Fred Dietz, Vice President for Enrollment Management
Ms. Gayonne Beavers, Director, Admissions
Ms. Kathy Browning, Director, Student Financial Aid
Ms. Darla Inglish, Registrar
Mr. Mark McClendon, Director, Institutional Effectiveness

Mr. Anthony Vidmar, Vice President for University Advancement and Public Affairs
Ms. Julie Gaynor, Director, Marketing and Public Information
Ms. Rhonda Talley McClung, Assistant Vice President for Gift Planning and Development
Ms. Leslee Ponder, Liaison, Alumni Engagement
Mr. Steve Shipp, Director, University Development

Mr. Kyle Williams, Director of Athletics
Ms. Valerie Armstrong, Head Volleyball Coach
Ms. Reagan Foster, Assistant Director of Athletics for Student Athlete Development/Community Outreach
Ms. Noel Johnson, Head Women’s Basketball Coach
Mr. Justin Leslie, Head Men’s Basketball Coach
Mr. Scott Linn, Head Tennis Coach
Mr. Bill Maskill, Head Football Coach
Mr. Michael Meachum, Head Men’s Soccer Coach
Mr. Jeremy Pick, Head Strength and Conditioning Coach
Mr. Kurt Portmann, Executive Associate Director of Athletics
Mr. Jeff Ray, Head Golf Coach
Mr. Trey Reed, Assistant Director of Athletics for Sports Information
Mr. Mark Ryal, Head Softball Coach
Ms. Amanda Snodgrass, Assistant Director of Athletics for Business and Finance and Senior Woman Administrator
Mr. Ryan Spence, Head Women’s Soccer Coach
Mr. Koby Styles, Head Women’s Cross Country and Track Coach

Dr. David Carlston, Chair, MSU Faculty Senate
Ms. Reagan Foster, Chair, MSU Staff Senate
Ms. Kerdell Cuffy, President, MSU Student Government Association
Baccalaureate Success

<table>
<thead>
<tr>
<th>Race/Ethnicity</th>
<th>Number</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>White</td>
<td>1,057</td>
<td>79.5%</td>
</tr>
<tr>
<td>African American</td>
<td>686</td>
<td>50.5%</td>
</tr>
<tr>
<td>Hispanic</td>
<td>177</td>
<td>3.1%</td>
</tr>
<tr>
<td>Asian</td>
<td>386</td>
<td>6.8%</td>
</tr>
<tr>
<td>Other</td>
<td>214</td>
<td>3.7%</td>
</tr>
<tr>
<td>Total</td>
<td>3,312</td>
<td>100.0%</td>
</tr>
</tbody>
</table>

TX First Time Transfers

<table>
<thead>
<tr>
<th>Two-Year Institutions</th>
<th>Number</th>
<th>% of UG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
<td>431</td>
<td>50.5%</td>
</tr>
<tr>
<td>Other Institutions</td>
<td>63</td>
<td>3.1%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Measure</th>
<th>Total</th>
<th>Same</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td>4-year Rate Total</td>
<td>2014</td>
<td>23.6%</td>
<td>21.9%</td>
</tr>
<tr>
<td>Same Institution</td>
<td>2013</td>
<td>44.7%</td>
<td>39.3%</td>
</tr>
<tr>
<td>Other Institutions</td>
<td>2012</td>
<td>52.2%</td>
<td>42.2%</td>
</tr>
</tbody>
</table>

Avg Number SCH for Bachelor's Degree

<table>
<thead>
<tr>
<th>Type of Cost</th>
<th>Average Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Academic Cost</td>
<td>$9,233</td>
</tr>
<tr>
<td>Books &amp; Supplies</td>
<td>$1,050</td>
</tr>
<tr>
<td>Off-Campus Transportation &amp; Personal Expenses</td>
<td>$3,975</td>
</tr>
<tr>
<td>Total Cost</td>
<td>$23,135</td>
</tr>
</tbody>
</table>

Degrees Awarded

<table>
<thead>
<tr>
<th>Type</th>
<th>FY 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bachelor's</td>
<td>1,167</td>
</tr>
<tr>
<td>Master's</td>
<td>242</td>
</tr>
<tr>
<td>Doctoral</td>
<td>0</td>
</tr>
<tr>
<td>Professional</td>
<td>0</td>
</tr>
<tr>
<td>Total Degrees by Ethnicity</td>
<td>1,409</td>
</tr>
</tbody>
</table>

First-Time Licensure or Certification Examination Pass Rate

<table>
<thead>
<tr>
<th>Field</th>
<th>FY 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Education</td>
<td>4.6%</td>
</tr>
<tr>
<td>Law</td>
<td>7.6%</td>
</tr>
<tr>
<td>Pharmacy</td>
<td>8.6%</td>
</tr>
<tr>
<td>Nursing</td>
<td>7.6%</td>
</tr>
<tr>
<td>Engineering</td>
<td>7.6%</td>
</tr>
</tbody>
</table>

Data for FY 2017
**MSU and Higher Education Acronyms**

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AACSB, Intl.</td>
<td>Association to Advance Collegiate Schools of Business – The accrediting body for the Dillard College of Business Administration.</td>
</tr>
<tr>
<td>ABET</td>
<td>Engineering program accrediting body, previously the Accreditation Board for Engineering and Technology.</td>
</tr>
<tr>
<td>AFR</td>
<td>Annual Financial Report – This report is prepared at the conclusion of MSU’s fiscal year – August 31 each year.</td>
</tr>
<tr>
<td>AY</td>
<td>Academic Year – the university’s academic year official begins September 1 and ends August 31</td>
</tr>
<tr>
<td>COPLAC</td>
<td>Council of Public Liberal Arts Colleges – This organization advances the aims of its member institutions -MSU is the only Texas member - and drives awareness of the value of high-quality, public liberal arts education in a student-centered residential environment.</td>
</tr>
<tr>
<td>CPUPC</td>
<td>Council of Public University Presidents and Chancellors – An organization made up of the presidents and chancellors of all Texas public universities.</td>
</tr>
<tr>
<td>CRM</td>
<td>Customer Relationship Management – MSU uses CRM software to provide communication management, event management, and process management for the student recruiting and admissions processes.</td>
</tr>
<tr>
<td>EURECA</td>
<td>Enhancing Undergraduate Research and Creative Activities – An MSU program designed to promote and facilitate undergraduate research by providing incentives and a support system for undergraduate students to engage in high-quality research and creative activities in an interdisciplinary environment.</td>
</tr>
<tr>
<td>E&amp;G</td>
<td>Educational and General – A fund group, these funds are used to provide educational services to MSU students.</td>
</tr>
<tr>
<td>FERPA</td>
<td>Family Educational Rights and Privacy Act – A Federal law that protects the privacy of student education records. The law applies to all schools that receive funds under an applicable program of the U. S. Department of Education.</td>
</tr>
<tr>
<td>FY</td>
<td>Fiscal Year – the university’s fiscal year begins September 1 and ends August 31</td>
</tr>
<tr>
<td>HEAF or HEF</td>
<td>Higher Education Assistance Fund – These funds, appropriated by the state to non-Permanent University Fund [PUF] schools, including MSU, can be</td>
</tr>
</tbody>
</table>
used to acquire land; construct, repair, and rehabilitate buildings; and purchase capital equipment and library materials.


IPEDS  Integrated Post-Secondary Education Data System – A postsecondary education data collection program within the U.S. Department of Education.

LAR  Legislative Appropriations Request – Texas state agencies, including MSU, submit this request for funding to the legislature every two years, prior to the biennial legislative session.

LBB  Legislative Budget Board – A joint committee of the Texas Legislature that develops budget and policy recommendations for legislative appropriations, completes fiscal analyses for proposed legislation, and conducts evaluations and reviews to improve the efficiency and performance of state and local operations.

LSC  Lone Star Conference – MSU is a member of this NCAA Division II athletics conference.

M&O  Maintenance and Operations (fund group)

NCATE  National Council for Accreditation of Teacher Education – Accrediting body for MSU’s teacher education programs.

NSSE  National Survey of Student Engagement – A survey MSU students participate in that reports participation in programs and activities that are provided for students’ learning and personal development. The results provide an estimate of how undergraduate students spend their time and what they gain from attending college.

PUF  Permanent University Fund – A public endowment that provides support to 21 institutions of The University of Texas and the Texas A&M University Systems that were members of those systems prior to the creation of the HEF. These funds can be used to pay interest and principal due on PUF bonds; to provide support for a wide range of programs intended to develop excellence at The University of Texas at Austin, Texas A&M University, Prairie View University, and any new universities; and to provide for the expenses of the two respective System administrations.

SACSCOC  Southern Association of Colleges and Schools Commission on Colleges – One of six regional accreditation organizations recognized by the U.S. Department of Education and the Council for Higher Education Accreditation. SACSCOC accredits public and private institutions of higher
education, including MSU. Midwestern State University’s accreditation was reaffirmed in 2013.

SCH  Semester Credit Hour

SGA  Student Government Association – the MSU SGA is a representative body of MSU students. Elections are held each year for a President, Vice President, Secretary, and various Student Senate positions. The Student Senate is made up of senators from registered student organizations, residence halls/apartments, and student classifications (freshman, sophomore, junior, senior, and graduate).

SORM  State Office of Risk Management provides risk management and insurance services to Texas state agencies, including MSU.

THECB  Texas Higher Education Coordinating Board oversees public higher education in Texas including developing and overseeing the state master plan for higher education.

TPFA  Texas Public Finance Authority must review requests by MSU to bond funds and administers the issuance of all MSU debt

TRB  Tuition Revenue Bond – A vehicle for funding capital improvement projects in Texas higher education. These bonds are paid from state appropriations specifically for this purpose.
The Board of Regents of Midwestern State University may deliberate and take action regarding any item on this agenda. This meeting will be continuous in that the Board reserves the right to take any agenda item out of the order or sequence that follows. The Board reserves the right to discuss any properly posted items in Executive Session whenever legally justified in accordance with the Texas Government Code Chapter 551.

The meeting will be streamed live at this link or webpage https://msutexas.edu/board-meetings/live-stream.php.

Call to Order

Special Introductions

Introduction of Visitors

Opening Comments

Public Comment
A public comment period will be provided as outlined in MSU Policy 2.22.

Reading and Approval of Minutes
20-01. The minutes of the August 1, 2019 Board of Regents meeting will be recommended for approval, as shown in the Board Book.

Real Property
20-02. The Board of Regents will consider the purchase of real property located at 2733 Midwestern Parkway in Wichita Falls, Texas, in Executive Session as allowed by Texas Government Code, Chapter 551, Section .072.

Gifts or Donations
20-03. The Board of Regents will consider two gift agreements for gifts to the institution in accordance with MSU Policy 2.24 (Approval and Execution of University Contracts) and MSU Policy 4.134 (Gifts and Donations). This matter will be discussed in Executive Session as allowed by Texas Government Code, Chapter 551, Section .073.
Enrollment Management, Academic, & Student Affairs Matters

Faculty Report
20-04. Dr. David Carlston, Faculty Senate Chairman, will report on behalf of the MSU Faculty Senate.

Staff Report
20-05. Ms. Reagan Foster, Staff Senate Chair, will provide information on behalf of the MSU Staff Senate.

Student Government Report
20-06. MSU Student Government Association (SGA) President Kerdell Cuffey will provide an update on Student Government activities.

Athletics Report
20-07. The MSU Athletics Report is presented in the Board Book, and Mr. Kyle Williams, Director of Athletics, will be available to answer questions related to MSU Athletics.

Enrollment Management Report
20-08. Vice President for Enrollment Management Fred Dietz prepared the following report and will be available to provide additional information.

A. Enrollment Report – Fall 2019
An enrollment report showing breakdowns by classification is provided in the Board Book. MSU’s fall 2019 enrollment is 5,969. Several key metrics showed improvement and are noted below:

1. The second largest cohort of 859 first-time, full-time undergraduate students was enrolled in fall 2019.
2. The freshmen retention rate improved from 64.6% to 67.4%.
3. The six, five, and four-year graduation rates improved by 3.5%, .8%, and 1.5%, respectively.
4. The enrollment of dual credit students increased from eight to 56 students and will grow as MSU’s partnership with North Central Texas College deepens.
5. A record number of graduates completed degrees during the 2018-19 year and totaled 1,452, which is an increase of 3% over the previous year.

B. Financial Aid Office
Following a review of the current Mustangs Guarantee Program, Enrollment Management is seeking changes to the Program. An action item will be presented later in the agenda.

C. Registrar
An action item will be presented in the agenda regarding the approval of December 2019 candidates for graduation.
D2L (Desire2Learn) Presentation
20-09. D2L is the learning management system used by Midwestern State University. This is a digital platform used to coordinate and deliver an enhanced learning experience to students enrolled in face-to-face, hybrid, and online courses. Provost James Johnston will provide information regarding how D2L is used at MSU Texas, and Dr. Pam Morgan Davis will provide a live demonstration.

Mustangs Guarantee Program
20-10. The Mustangs Guarantee Program was established at MSU in 2010. The current program is available to new students to MSU who have not received a Bachelor’s Degree. Students must be Texas residents, Pell Grant eligible, and their family’s combined annual Adjusted Gross Income must be $50,000 or less. The Mustangs Guarantee Program will cover the remaining balance of any tuition and mandatory fees for 15 or more credit hours each semester for up to four academic years (summer terms and non-MSU enrolled hours are not included) that are not covered by other grants, scholarships, exemptions, benefits, and/or waiver programs received by the student.

The administration will recommend the following changes to the program effective with the fall 2020 semester.

A. Change the minimum full-time requirement from 15 credit hours to 12 credit hours, which aligns with the Federal Department of Education minimum full-time requirements.
B. Change the time allowed for eligibility in the program from four academic years to five academic years, which aligns with the Federal Department of Education requirements.

December 2019 Graduating Class
20-11. The administration will recommend approval of the list of candidates for December 2019 graduation shown in the Board Book, with the provision that they meet all requirements as prescribed by the faculty and administration.

Office Hours for Faculty
20-12. The current university policy regarding Office Hours for Faculty (3.144) provides the following:

A. General
Midwestern State University's faculty are members of a learned profession characterized by high standards and accompanied by a demanding concept of responsibility. All faculty should make themselves available as much as possible for consultations with students during regularly scheduled terms.

B. Office Hour Requirements
Each faculty member is expected to keep at least ten (10) office hours per week. A schedule of these hours must be posted for the convenience of students and others.

The administration recognizes the importance of faculty presence on campus to fulfill the obligations of a faculty member and the demands now placed on that time. During the
2019-2020 academic year, the administration is piloting a program whereby faculty maintain at least ten hours in residence on campus per week beyond meeting assigned classes, but only five posted office hours per week are required exclusively for the availability of students. Those five office hours are scheduled on three different days of the week to maximize availability to students. The remaining hours are at the discretion of the faculty member to meet the other demands of the position and fulfill the obligations of a faculty member.

The administration will request authorization to temporarily suspend the current 10-hour requirement in favor of the five-hour requirement noted in the pilot program, with the understanding that Policy 3.144 would be revisited after one year.

Addition of Academic Degree Program – Master of Arts in Biology with Biomedical Emphasis
20-13. The administration will recommend the addition of a Master of Arts academic degree with a Biomedical emphasis to the existing Biology Program as outlined in the Board Book. The addition of this Master of Arts program is to encourage increased enrollment in expanding career fields. The proposed degree program will provide graduates the knowledge, skills, and competencies to become more successful as they enter the growing workforce. Students may select one of the two Biology degrees that best fit their career goals. The Master of Arts in Biology with a Biomedical emphasis degree requires completion of 30 semester credit hours, the same as the Master of Science in Biology degree program. No additional courses or faculty are required for this degree program.

Textbook and Courseware Affordability and Access Program
20-14. At the May 2019 Board of Regents meeting, the administration was authorized to pilot the Textbook and Courseware Affordability and Access Program during the fall 2019 semester to work out the details of the program before the Board authorized full implementation. The pilot was conducted using the course CMPS 1013-X10 (Computer Concepts & Applications). The 34 students enrolled in the course had access to their required digital course materials through Desire2Learn (D2L) on the first day of class. Students in the course were each charged the cost of the required digital course materials on their MSU student account at the same time they paid tuition and fees.

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Market/Retail Rate for Course Materials</td>
<td>$134.25</td>
</tr>
<tr>
<td>Amount Charged to Each Student through the Program</td>
<td>$98.00</td>
</tr>
<tr>
<td>Net Savings per Student (27% less than market/retail rate)</td>
<td>$36.25</td>
</tr>
</tbody>
</table>

Multiple communications were provided to students registered in the course to inform them about the program and pertinent details. No students opted out of the program. The administration will recommend continued implementation of the Textbook and Courseware Affordability and Access Program for other applicable courses at MSU Texas.

Wichita Falls Museum of Art at Midwestern State University Advisory Board
20-15. Each year the Board of Regents must approve individuals to serve on the Museum Advisory Board. The following individuals will be recommended for reappointment.
Emeritus Status – Staff
20-16. The administration will make a recommendation concerning emeritus status for staff in closed session as allowed by Texas Government Code, Section 551.074.
• The 2019-2020 season is underway, with several new coaching transitions. These include a new head coach in Men’s Basketball, along with three new assistant coaches in Football, one in Volleyball, and two in Strength & Conditioning.

• Second-year Women’s Soccer Coach, Ryan Spence, continues to lead the Mustangs through tough conference play. Injuries have plagued MSU; however, the team continues to play with great energy.

• MSU Volleyball continues to build under second-year Coach Valarie Armstrong. Through this challenging season, the women remain focused on making it to the Lone Star Conference (LSC) Tournament for the first time since 2016.

• For the third straight year, Coach Scott Linn is taking a student athlete to the ITA Tennis Cup in Rhome, Georgia. Angel Palacios, a senior Management Information Systems major, will participate in this competition on October 17-20.

• Football began the season with three wins but followed that with three losses. Injuries, including at the quarterback position and both senior linebackers, have hurt the team in the very tough LSC play.

• Men’s Soccer is currently 9-1, 4-0 in the conference, and ranked #6 in the NCAA Division II Standings under the leadership of second-year Coach Michael Meachum.

• MSU Cross Country/Track has more student athletes (26) than the program has ever had. The Conference meet will be at Western New Mexico University, and the Regional meet will be at West Texas A&M University.

• MSU’s 315 student athletes continue to do their part in the community through their work with organizations such as Habitat for Humanity and the Second and Seven Reading program with the WFISD.

• Three individuals were inducted into the Midwestern State University Athletic Hall of Honor during Homecoming 2019.
  
  o Jel-Ani Armstrong – Women’s Basketball 2002-2004
  o Tony Burson (Posthumous) – Football 2006-2007
  o Doug Elder – Men’s Soccer Head Coach 2000-2018

10/17/19
<table>
<thead>
<tr>
<th>Classification</th>
<th>Fall 2018</th>
<th>Fall 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Total</td>
<td>Online</td>
</tr>
<tr>
<td></td>
<td>Enrollment</td>
<td>Only</td>
</tr>
<tr>
<td>Dual Credit</td>
<td>8</td>
<td></td>
</tr>
<tr>
<td>New First Time*</td>
<td>872</td>
<td>28</td>
</tr>
<tr>
<td>Freshman</td>
<td>397</td>
<td>370</td>
</tr>
<tr>
<td>Sophomore</td>
<td>996</td>
<td>995</td>
</tr>
<tr>
<td>Junior</td>
<td>1250</td>
<td>1132</td>
</tr>
<tr>
<td>Senior</td>
<td>1849</td>
<td>1821</td>
</tr>
<tr>
<td>Post Bacc</td>
<td>51</td>
<td>83</td>
</tr>
<tr>
<td>Masters Candidate</td>
<td>679</td>
<td>660</td>
</tr>
<tr>
<td>Total Headcount</td>
<td>6102</td>
<td>5969</td>
</tr>
<tr>
<td>SCH Generated by Headcount</td>
<td>71,432</td>
<td>9,707</td>
</tr>
</tbody>
</table>

*New First Time: undergraduates attending their first college semester after high school graduation, and includes freshmen, sophomores, and juniors.

**First-time, Full-Time Undergraduate:** 859 students with no prior postsecondary experience (except credits earned before high school graduation) entering full time fall 2019.
Candidates for Degrees
December 14, 2019

DILLARD COLLEGE OF BUSINESS ADMINISTRATION

Master of Business Administration

Nadley Christabel Augustine
Jingwen Li
Rachel Kathleen Starkey
Trecia Sylvester

Kelsey Lyn Tahmahkera
Paige Ann Tilker
Xiahan Wu

GORDON T. AND ELLEN WEST COLLEGE OF EDUCATION

Master of Arts

Keyla C Ahow Sanudo
Stella Velez Centeno

Jennifer Lei Mackey
Geneva Marie McLean

Master of Education

Alandra J. Adams
Naomi Ruth Alexander
Anna Laura Amezcka
Shannon Rebecca Arnold
Kylie Elizabeth Austin
Tina Delores Bernal
Della Ann Blanton
Lexi Alene Boswell
Mindy Briones
Keairah DaNeese Cheatham
Destiny Samone Clayton
Taylor Glaser Coffman
Shelbee Rose Coleman
Devon Jamal Doggett
Megan Yates Duncan
Mandi Dawn Freeman
Kelly Rebecca Reeves Holcomb
Katherine Mariann Miller
Jamie Beth Fiero Mitchell

Sarah Myers
Courtney Renee Nelson
Karlee Cene Nichols
Teresa Obregon
Toluwani Omotola
Jacqueline Pinedo
Michelle Ann Plaisance
Tara Nichole Rikoric-Arias
Michael Chase Robertson
Henry Rodriguez, Jr.
Elizabeth Louise Breed Smith
Mariah Elizabeth Sutherland
Koletha Taylor
Sarah Elizabeth Thompson
Lusero Torres
Katelyn Elizabeth Vietti
Jayme Gayle Winters
Darby K. Yanez

ROBERT D. AND CAROL GUNN COLLEGE OF HEALTH SCIENCES AND HUMAN SERVICES

Master of Arts in Criminal Justice

Chance Everett Boulware
Darcy DeWayne Philpott

Brandi Renee' Putney

Master of Science in Exercise Physiology

Emily Nicole Gilbert

Yuga Mahesh Joshi
Master of Science in Nursing
Bridgett Renee Fisk

Master of Science in Radiologic Sciences
Kaylee Anne Black
Patrick DeAsis Corpuz
Suzzette Renee Gilliland
Kaylee Ann Keena
Amanda Janell Oppedal

Shanna Lee Quade
Sean Edward Strickler
Kristin Noelle Suthard
Dora Lee Williams

PROTHRO-YEAGER COLLEGE OF HUMANITIES AND SOCIAL SCIENCES

Master of Arts
Mikaela Kathleen Cloyd
Melissa Jean Laussmann

James Choi Lue
Leanne M. Ray

MCCOY COLLEGE OF SCIENCE, MATHEMATICS AND ENGINEERING

Master of Science
Joshua Hunter Aaron
John David Auwen
Thomas James Gray II
Neelahika Kasarla

Emmanuel A. Ndem
David Perez Guerra
Jordan Paige Ramirez
Sai Rama Krishna Tummala

DILLARD COLLEGE OF BUSINESS ADMINISTRATION

Bachelor of Business Administration

Gerald Fombang Achah
Sultan Ramadhan Alenizi
Riyadh Ahmad Alsahor
Ryan Forrest Armstrong
William Robert Ash
Keriza Saara Ira Balthazar
Erika Symone Berry
Cort Daniel Beynon
Emily Carmen Bowers
Jessie Leigh Brow
Bella Brunkenhoefer
Kasey Vance Brunskill
Chad Lionel Caldwell
Charlene Belle Carey
Zachary Cade Carter
Dalton Joseph Chambers
Tom Clinton
Dorian James Colbert
Leland Carter Creel
Kalyn Danielle Crow
Terrelle Denyse Dames
Ashlynn Denise Darby
Sarah Marie Digby
Taylor Janae Dinkins
Keith De-Vonte Domino
Jacob Hugh Elder
Sarah Anne Farquharson

Sherielle J. A. Forbes
Alvin Garcia, Jr.
Hanna Gebel
Nadilia Marisa Gilbert
Leah Danielle Gilliland
Paige Breanna Gore
Jacob Jordan Hernandez
Evan Matthew Hoffmann
Wanqing Huang
Lauren Frances Hudson
Chadwick Lamar James
Chadwin Larry James
Denicia Latoya Jeffers
Shane Warner Jones
Shelbi Renee Jones
Shakeba Laurence A. Joseph
Lawrence Kamau Karanja
Abigail Haylee Kimbrel
Ashley LeeAnne Kuoppamaki
Greta Lazzarotto
Yongzhi Lin
Vincent Kelyun Lusk
Josh A. Mathews
Ivon Mendoza
David Christopher O'Dell
Simon Ospina Giraldo
Blake R Penney
Currisah Athena Deborah Pierre
James Weldon Poe
Grant Taylor Priselac
Jennifer Shamier Richardson
Graciela Ruiz
Michael Joseph Sellars
Emily Page Shaver
Adam Taylor Sinclair
Peter Andrew Skulski
Dylan Henson Slade
Jordan Mackenzie Stavelo

Kourtney Ann VanHoveln
Jacob Vasquez
Adriana Corinne Vines
Key-Aila Ialijah Wafer
Zijing Wang
Luke Harrison White
Pathati Mudiyanaselange Erosha Udayangi Wijenayake
Shijie Xing
Zijian Zeng
Yingjie Zhang

GORDON T. AND ELLEN WEST COLLEGE OF EDUCATION

Bachelor of Applied Arts and Sciences

Lucy Nchong Agbor
Jose Luis Barron, Jr.
Brianne Jeanell Bates
Eli Evert Becker
Michael S. Bell
Virginia Bill
Baileigh Deanna Boydston
Sandra Lynne Comer
Marcus Allen Davis
William Rivers Deas III
Brandon William Deyoung
Jennifer Dirickson
Jason Ebie
Kayla Shay Fincannon
Cheyann Belle Garcia
Julia R. Glidewell
Ineke Michelle Graham
Corey Lyle Gray
Kevin Anthony Hayes
Larendra Brooke Hughes-Bode
Anthony Lee Keck
Joseph Daniel Maldonado
Alannah Renee Martinez
Jonathan Felix Martinez
Danielle Nichole McKee
Monique Alicia Mendez

Chelsea Dominique Miller
Daszia Akilah Moore
Emmanuel Renard Moore
Gregory M. Ojeda
Raymond Orozco
Cynthia Patino
Gregory A. Pollock
Lindsey Renee Ponder
Michael Clifton Putnam
Craig Lee Reeves
Sandra Lamae Rodgers-Tomeo
Raul Sergio Rodriguez
Casey Joyce Slimp
Joseph Scott Smart
Christopher Allen Smith
Jesse Dale Smith
Wesley Allen Stringer
Darius Deante Thompson
Lauren Anne Tisdale
Ngoc Bao Truong
Karsyn Leigh Vroom
Ken Albert Waugh
Kami Denise Weatherly
William Jerry Weaver
Angela Perez Wineinger

Bachelor of Arts

Carter Ryan Richards

Benjamin Sullivan

Bachelor of Science

Blaine Tyler Albrecht
Stephen Janard Butler
Austan D. Davis

Alicia Jayde Moody Mayhugh
Troy Micheal Morales

Bachelor of Science in Interdisciplinary Studies

Mary Claire Anderson
Mackenzie Peighton Barnard
Demi Gillian Barron
Sydney Gwen Susan Bateman
Chelbey Lakota Buratovich
Jennifer Lauren Cope
Caylan Rae Deutsch

Yasamin Marie Dougherty
Laura Ann Dunn
Courtney Alexis Gore
Sierra Cheyenne Hamm
Rebekah Leah Hardin
Nicholas Jose Herrera
Sarah B. Krahl
Amanda Nicole Latham
Liana Marie Lauterbach
Alexandra Lynne Malone
Sarah Jean Vernell Marsh
Bryanna Nicole Masella
Garay Olague Montserrat
Alyson Stevie Moore
Angel Chevon Norman
Abigail Mae O'Neil

Alexandria KellenFairway Pierce
Brenda Adame Rivera
Madison Lake Rowsey
Nicole Hope Scarlott
Lauren Michelle Sterling
Jazmyn Dominique Sterry
Sierra Faith Thomas
Hannah Leigh Ward

LAMAR D. FAIN COLLEGE OF FINE ARTS

Bachelor of Arts

Halie Autumn Aldridge
Taylor McKenzie Barnett
David Saint Clair Cash
Shannon Marie Doss
Mia Rae Heck
Brittany Jean Marie Hill
Clark Edward Jones III

Cydney Nicolle Menzik
Alyssa Paige Mitchell
Joanne Angelina Ortega
Judelle Janine Tyson
Avery Harrison Whaite
Carli Lynn Woolse

Bachelor of Fine Arts

Alexander Daniel Collins
Lauren Tayler Compean
Marissa Aviana Daley
Isaiah Rashan Edwards
Thomas William Goad

Chrysa Annazette Jacobs
Heather Dawn Johnson
Brandon Tye Lawson
Ferdine Gerven Leblanc
Bailey Ashlyn Pitzer

Bachelor of Music

Brandon Daniel Barnett
Cameron Elisabeth Carter

Drew Cameron Dabbs

ROBERT D. AND CAROL GUNN COLLEGE OF
HEALTH SCIENCES AND HUMAN SERVICES

Bachelor of Science in Athletic Training

Elias Ugalde Moncivais

Bachelor of Science in Criminal Justice

Adewale Anthony Adewumi
Jessica Marie Bates
Jonathan Kojo Benyarko
Marvin Castillo
Alisha Marie Chambiss
Kimberly Nicole Chandias
Isabella Christina Crone
Tyrique Juwan Edwards
Madelyn Garcia
Parker Brooke Keeling

Riley Reed Low
Joshua Jacob Ludwig
Sidney Andrew Mackey
Zack Lee McMahren
Shelby Makenna Moss
Kyle Stephen Panter
Amanee Janae Rasheed
Tay Michael Roper
Mason Patrick Zurbriggen

Bachelor of Science in Exercise Physiology

Pablo Cruz Trochez
Natalie Alejandra Delgadillo Alanis
Jacqueline Dominguez
Melisa Ann Doo

Ashton Jean Frische
Melanie Renee Garcia
Dylan Dewayne Huff
Chavaz Sidarius Jackson
Jamilah Charlotte Kangudja
Dillon Thomas Pineda
Taylor Nicole Robinson

Bachelor of Science in Nursing

Oludayo R. Adeoti
Olasunkanmi Samuel Adesemoye
Jon'Sheenna LaShae Albert
Sara Edith Almazan Castillo
Vida Vera Ametepe
Adetutu Adebule Balogun
Kayode Emmanuel Balogun
Lexie Seedig Bardell
Ann Treesa Bijus
Alejandra Bull Calf
Kacie Alayne Campagna
Riley Samuel Carr
Shelby Lynn Chastain
Kayla Nicole Childress
Caleb Derek Clubb
Natalie Elise Cochran
Bryan James Collier
Alicen Rhea Conyers
Kayla Marie Conyers
Caitlin Elise Corcoran
Jessica Katharine Counts
Bhuma Dangal
Anna De La Cruz
Sasha C. Deas
Salyna Marie Escobar
Wendy Diane Gallardo
Jodie Kathleen Gardner
Dennise George
Abbey Michelle Gibson
Courtney Danielle Glover
Meredith Raye Goins
Cynthia Diane Gonzalez
Brian Collette Gordon
Kylee Marie Gorney
Khailia L'Adrienne Griffin
Alexis Michelle Guillory
Bailey Faith Hamilton
Khrissa Brian Hannibal
Cassandra D Henlon
Makayle Nichole Hurd
James Kevin Huynh
Irene N. Ibeabuchi
Stephanie Ezimma Igboanugo
Sarah Esele Iyoha
Queen Manganda Jones
Blandine Kanyambo
Linnette Karanja
Bezawit Mekonnen Kidane
Mykhaylo Konstantinovich Kurko
Chelsey Elizabeth La Touche
Kaitlyn Nichole Lohse-Barber
Andrea Lea Malis
Mahayla Rae Mann
Madison Lacey Mata
Angela Michelle McClain
Mikayla Rachel McDonell
Kylie Marie Melanson
Mercy Bih Mungwa
Martha Leticia Nijera
Tina Tuyet Nhi Nguyen
Kristen Marie Niekamp
Dalton Lee Nix
James Nyakundi
Adenike Christy Odewumi
Omobolanle Oluwabisi Ogunsanya
Teresa Nichole Olivas
Kylee Nicole Parrott
Bhakti Hrishikesh Patel
Stephanie Phung Phan
Sadie Rachelle Pope
Alisha Nicole Quinterro
Stefanie Anne Raley
Deven Alyssa Riggins
Madelyn Grace Riggs
Vanessa Oliveth Rojas
Chandler Reese Ross
Yordanos Gebevyu Sahlie
Christi Lee Ann Sanchez
Taylor Lynn Smith
Josh Christopher SOSolik
Katie Tam
Kae Len Elizabeth Sosolik
Taylor Renee Watson
Gabrielle Amanda Winkle
Bridget Chiamaka Wright

Bachelor of Science in Radiologic Sciences

Tiffany Jo Anderson
Artur Ayyazyan
Bradley Douglas Binz
Kelsey Lynn Burkett
Jennifer Clark
Amanda Nicole Cunningham
Colby Aaron DeDear
Destiny Michelle DiFronzo
Joshua Abel Diaz
Tricia D. Diaz
Daisy Soledad Epps
Elaine Escobedo
Amanda Paige Featherston
Ashlyn Nicole LeDane Franks
Kristina Arlene Galifus
Stanley Samuel George
Stacey Diane Green
Heather Elaine Gresham
Amy Eileen Hutson
Holly Kate Kelch
Nikki Ray Massey
Brandi Ashten McCullough
Leisha Marie McDougall
Alesia Ruth Nunez
Aaron Olivera
Emily Gray Payne
Divya Abraham Pralel
Lisa Ann Rennie-Aruzaga
Jose R. Rodriguez

Corey Orion Rowe
Ariel Nicole Temperino
Samantha Nicole Thompson

Bachelor of Science in Respiratory Care

Vanessa Balderas
Michael Laroy Baldwin-Gregory
Todd Jaime Cox
Tiffany Rene Creagh
Beatriz Cruz-Aguirre
Shayla Kay Dollar
Leslie Lyn Dushensky
Dawit Mengistu Ergete
Mailan Elizabeth Fancher
Mary Lynn Hill Fancher
Robin Lynn Garcia
Nithin George
Erika Yesenia Guzman
Brittany Faith Harris
Cindy Wilson Hart
Robert Wayne Jackson
Tyler Mathew Keene
Yuridia Kennedy
Tammy Lea Larson

Danielle Christine Liles
Tiffany Renee Lowery
Julia Alyssa Marcano
Caroline Masila
Danielle Joyce Mason
Violet Misutka
Kudzai Mudita
Jeremy Isaiah Preston
Seth Alan Price
Cynthia Reed
Sarah Nichole Rinehart
Sarah Rose Ronning
Cindy Lu Adriana Salinas-Martinez
Rachael Renee Sanders
Kyle Brodie Sarlls
Kyle Jacob Sinko
Alejandra Terrazas
Daniel Gilbert Trevino
Gelila Yemer

Bachelor of Social Work

Lauren Ann Bagley
Mireya Gonzalez
Brittney Paige Huff

Jennifer Marie Joss
Amanda Page Morrow
Naomi Shontrese Waggoner

PROTHRO-YEAGER COLLEGE OF
HUMANITIES AND SOCIAL SCIENCES

Bachelor of Arts

Frida Guadalupe Arredondo
Kayleigh Gabrielle Bryant
Christopher Lee Candelaria
Christopher Lynn Craft
Conner William Deen
Caleigh Ashton Demien
Holly Meadow Frazier
Bradley Scott Gray
Charles Graham Grissom
Kathryn Olivia Johnson

Bryce Allen Lewis
Kinsey Raevonne McCloud
Anna Marie Medina
David Connor Milks
Jessica Rosalie Odom
Cody Duane Peterson
Jasmine Angelika Phillips
Alexandra Rios
McKenna Jo Williams

Bachelor of Science

Sasha Sirnovia Cooper
Landon Kyle Cox
Taylor Nicole Dulock
Andrew Michael Edgin
MacKenzie Del Hurst
Khalequunnissa Jehan
Begum Khan
Elijah Trey Kirkland

Oluwakemi Oluwaseyi Lapite
Brianna Lindsey Manning
Paulina Martinez
Lexus Marie Menk
Ashley Nicole Valdez
Jamie Lea Wilkinson
Latresa Sharon Williams
MCCOY COLLEGE OF SCIENCE, MATHEMATICS AND ENGINEERING

Bachelor of Arts
Micah Marie Cooke
David Nicholas McGinn

Bachelor of Science
Hailey Marie Andrukitis
Reid P. Armstrong
Benjamin Hill Bradley
Kevin Amal Bryan
Lorenzo Rafael Carranza
Skye Nacole Catletti
Johnny Paul Contreras
Sherma Daniel
Jermaine Roxann Descartes
Jessica Lynn Duffy
Jeremy Dale Glebe
Garrett Aaron Gukler
Ernest Phillip Hernandez, Jr.
Alec T. John

Bachelor of Science in Mechanical Engineering
Abdulhadi Obaid Alsadi
Jedeshkeran Chandrasegaran
Tapiwa Gasseler
Blake Jenkins

Vincent Michael Rodriguez
Shervonne Crystelle Joseph
Jakob Lorenzo Lopez
Andy Brice Mandela
Austin Russell Martin
Patricia Pena
Anthony Quezada
Shermali Isurangani Ratnasighe
Dawi-Shernice Rolle
Raisa Rolle
Sarah Elaine Stewart
Hannah Kerigan Strong
Zaquera Dawn Wallace
Joshua Aton Zabica

Timothy C. Jones
Darrell Wayne Middlesworth
MiKyle Raymond Percentie
The mission of the Master of Arts degree program in Biology is to help students enhance their understanding of the biological disciplines required for medical school or other professional health science programs. The program builds formal skills in the analysis of biomedical literature and of ethical questions that impact the medical profession.

Biology, M.A.
Thirty semester credit hours of approved courses including:
Core (12 credits)
BIOL 5002 - Discussions in Biology
BIOL 5011 - History of the Biological Sciences
BIOL 5012 - Writing in the Biological Sciences
BIOL 5801 - Research Ethics
BIOL 5813 - Biomedical Ethics
BIOL 6113 - Scientific Literature and Research (in final semester)

Electives (18 credits)
Group 1: (minimum of eight credits)
BIOL 5242 - Biochemistry Laboratory
BIOL 5243 - Biochemistry
BIOL 5253 - Biochemistry
BIOL 5331 - Molecular Biology Laboratory
BIOL 5333 - Molecular Biology
BIOL 5644 - Advanced Genetics
Group 2:
BIOL 5803 - Virology
BIOL 5823 - Mycology
BIOL 5743 - Araneology
BIOL 5833 - Biostatistics
BIOL 6003 - Graduate Seminar in Biology

Students may petition to take certain undergraduate courses for graduate credit. These courses count toward Group 2 only. No more than six semester credit hours (or eight for lab courses) can be used to satisfy the degree requirements. Petitions must be made in consultation with the graduate coordinator and advisor. May not be petitioned for graduate credit if previously taken as an undergraduate.

BIOL 3344 - Developmental Biology
BIOL 4021 - Immunology Laboratory
BIOL 4023 - Immunology
BIOL 4444 - Histology
BIOL 4524 - Parasitology
BIOL 4714 - Cell Biology
Finance and Facilities Matters

Summaries of Financial Support and Comprehensive Campaign Update
20-17. The following reports are presented in the Board Book as a point of information. Additional information will be provided regarding external financial support.

A. Comprehensive Campaign Comparison of New Gifts and Commitments
B. FY 20 Monthly Comparison of New Gifts and Commitments
C. Year by Year Comparison – Monthly Cumulative Number of Donors
D. Year by Year Comparison – Monthly Number of Gifts
E. Donor Designation of Gifts – September 2019
F. Sources of Donors – September 2019
G. Faculty Staff Campaign Participation Rates
H. Alumni Association Yearly Membership Statistics
I. Legacy Society Update Through September 30, 2019

University Branding Efforts
20-18. Director of Marketing and Public Information Julie Gaynor will provide an update on university branding efforts. Her presentation is available in the Board Book.

Legacy Walk Recommendations
20-19. The university’s Legacy Walk was established in 1997 to honor alumni and friends who have significantly affected the future of Midwestern State University through service and financial support. Since that time, 27 stones have been inscribed with the names of the individuals, couples, families, and foundations recognized by the Board of Regents for their generosity and commitment to Midwestern State University. With the support of the Legacy Walk Recognition Committee, the administration will recommend the addition of the following individuals to Legacy Walk.

A. Peyton and Jane Carnes – Mr. and Mrs. Carnes have provided decades of energetic advocacy and support of Midwestern State University. Their giving and involvement has reached many sectors of the university, including substantive and consistent support of faculty and expanded student research in the McCoy College of Science, Mathematics, and Engineering and their personal commitment to and support of first-year recipients of the President’s Distinguished Scholars program, through the Carnes Presidential Scholarship. One of the labs in the McCoy School of Engineering is named in Mr. Carnes’ honor, and additionally, Mrs. Carnes recently funded the Jane Spears Carnes Faculty Fellowship, supporting faculty in the Fain College of Fine Arts and the Prothro-Yeager College of Humanities and Social Sciences. Mr. and Mrs. Carnes have graciously served as Chairs of the President’s Excellence Circle and helped grow and enhance the program during that time. Mrs. Carnes also served the university as a member of the Board of Regents in 2008-2014.

B. Robert L. and Beverly Bolin (Posthumously) – It is safe to say that the Sciences would not be the same at MSU Texas without the transformative influence of the late Beverly and Robert Bolin. In April 2012, a seven-figure gift commitment was made
for the Robert L. Bolin Distinguished Professorship of Petroleum Geology, equipment for the aforementioned laboratory, and additional funding resources for the Trans-Pecos Field Research Station and the Dalquest Desert Lab Building. Additionally, the Bolin gift unquestionably empowered the university to recruit stellar faculty to Petroleum Geology, raising the teaching and research footprint of MSU Texas Sciences. The late Mr. and Mrs. Bolin also generously provided needed and strategic giving to other areas of campus life, including but not limited to the President’s Excellence Circle and the Wichita Falls Museum of Art at Midwestern State University.

Quasi-Endowment Fund Reports – FY 2019
20-20. Upon the establishment of two quasi-endowment funds, the Frank and Nancy Harvey Student Development Fund and the Redwine Fund, the Board instructed that reports showing the use of these funds be presented to the Board in November of each year. The reports concerning these funds for FY 19 are in the Board Book and are presented as a point of information only.

Financial Report
20-21. The administration will recommend the July 2019 Financial Report for acceptance. This report, as well as Vice President Beth Reissenweber’s summary report, are included in the Board Book. Dr. Reissenweber will provide preliminary information regarding the FY 19 end-of-year report and the FY 20 budget outlook at the meeting.

Investment Report
20-22. The administration will recommend the fourth quarter FY 2019 investment report for acceptance. This report, as well as Vice President Beth Reissenweber’s summary report, are shown in the Board Book.

Salary/Title/Position Changes in 2018-2019 Budget
20-23. The report of personnel changes in July and August 2019 is presented for information as shown in the Board Book. Additionally, a new position approved by the President and Board Chairman and salary, title, and position changes approved by the President will be presented for ratification as shown below.

<table>
<thead>
<tr>
<th>Position</th>
<th>Action</th>
<th>Additional Funding</th>
<th>Net Current FY Actual Cost (Savings)</th>
<th>Annual Budget Increase (Decrease)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coordinator, Dual Credit – Admissions Office</td>
<td>New position and .5 FTE created.</td>
<td>Salary Savings</td>
<td>$1,358</td>
<td>$16,000</td>
</tr>
<tr>
<td>Eleven Staff/Administration positions</td>
<td>Filled positions above or below budget</td>
<td>Salary Savings</td>
<td>(273,472)</td>
<td>13,037</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td><strong>$(272,114)</strong></td>
<td><strong>$29,037</strong></td>
</tr>
</tbody>
</table>
Salary/Title/Position Changes in 2019-2020 Budget
20-24. The report of personnel changes in September 2019 is presented for information as shown in the Board Book. Additionally, salary, title, and position changes approved by the President will be presented for ratification as shown below.

<table>
<thead>
<tr>
<th>Current Position</th>
<th>Action</th>
<th>Additional Funding</th>
<th>Net Current FY Actual Cost(Savings)</th>
<th>Annual Budget Increase (Decrease)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Three Staff positions</td>
<td>Reclassified above budget</td>
<td>Salary Savings</td>
<td>$5,767</td>
<td>$5,767</td>
</tr>
<tr>
<td>Seven Faculty and One Staff position</td>
<td>Filled positions above or below budget</td>
<td>Salary Savings when necessary</td>
<td>(18,995)</td>
<td>(21,446)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td>$(13,228)</td>
<td>$(15,679)</td>
</tr>
</tbody>
</table>

Tier 2 International Tuition
20-25. In 2007, the Board of Regents authorized the Tier 2 tuition category for international students. Tier 2 affords international students a tuition rate of in-state plus $90 per semester credit hour, which is less than an international student would otherwise pay for nonresident tuition (Tier 3), but more than an international student would pay if earning a competitive waiver (Tier 1). Tier 2 has been critical to MSU’s recruitment efforts, often of students from developing countries who cannot afford Tier 3. The program, as approved in 2007, has a cap of 150 on the number of students utilizing the Tier 2 tuition rate. Due to the success of the program through international student growth, the administration will recommend the removal of the cap on the number of Tier 2 students.

Campus Construction Update
20-26. The Board Book includes reports regarding current construction and repair and rehabilitation projects as well as a presentation on current projects that will be reviewed during the meeting.

MSU Deferred Maintenance Reports – Campus Condition Index
20-27. Texas Education Code (Section 61.05821) requires institutions of higher education to report deferred maintenance information to the Texas Higher Education Coordinating Board (THECB) and the university’s governing board each year. The required reports are presented in the Board Book as information only and will be reviewed during the meeting.

A. THECB Summary Report of Deferred Maintenance Data
B. FY 19 Deferred Maintenance Expenditures
C. FY 20-24 Deferred Maintenance List
Sikes Lake Weir Removal

20-28. During the August 2019 Board of Regents meeting, discussion regarding the City of Wichita Falls’ proposal to remove the concrete weir used to separate the north and south areas of Sikes Lake was tabled to allow the administration time to obtain updated cost estimates for dredging the two areas of the lake. With the original proposal, the City would remove the weir at their expense as part of the Quail Creek flood control project, although doing so would lower the north lake’s water level several inches and may result in portions of its silt bottom being visible during periods with little or no precipitation. To better understand the costs involved with dredging the north lake to improve its aesthetics, the administration engaged an engineering firm to conduct a hydrology study. From the study, the project cost to dredge the north lake is estimated at $1,819,600, with the south lake at $4,399,900, for a total cost estimate, in 2019 dollars, of $6,159,500. Given the significant cost to dredge and unavailability of current resources to fund such a project, the administration will recommend no action at this time to allow further review of the matter to ensure the aesthetics of Sikes Lake are preserved, and that funding of any needed dredging is obtained before accepting the City’s proposal to remove the weir.
### Comprehensive Campaign Comparison of New Gifts and Commitments

<table>
<thead>
<tr>
<th>Gift Type</th>
<th>FY17</th>
<th>FY18</th>
<th>FY19</th>
<th>9/1/2019 - 9/30/2019</th>
<th>FY20</th>
<th>FY21</th>
<th>FY22</th>
<th>FY23</th>
<th>Grand Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bequest Intentions</td>
<td>$0</td>
<td>- $1,883,924</td>
<td>$66,245</td>
<td>$110,002</td>
<td>- $</td>
<td>- $</td>
<td>- $</td>
<td>- $</td>
<td>$2,060,171</td>
</tr>
<tr>
<td>Pledges</td>
<td>$4,893,063</td>
<td>$15,747,109</td>
<td>$682,556</td>
<td>$5,473,368</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
<td>$26,796,096</td>
</tr>
<tr>
<td>Realized Bequests</td>
<td>$6,030</td>
<td>$556,694</td>
<td>$260,764</td>
<td>$3,658</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
<td>$827,146</td>
</tr>
<tr>
<td>Gifts-In-Kind</td>
<td>$222,338</td>
<td>$11,489,502</td>
<td>$9,777,819</td>
<td>$1,797,235</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
<td>$23,286,894</td>
</tr>
<tr>
<td>Outright Gifts</td>
<td>$1,671,241</td>
<td>$3,092,054</td>
<td>$2,683,685</td>
<td>$131,700</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
<td>$7,578,680</td>
</tr>
<tr>
<td>Grand Total</td>
<td>$6,792,672</td>
<td>$32,769,283</td>
<td>$13,471,069</td>
<td>$7,515,963</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
<td>$60,548,986</td>
</tr>
</tbody>
</table>

#### NG&C Bar - by Gift Type

- **FY23**
- **FY22**
- **FY21**
- **FY20** 9/1/2019 - 9/30/2019
- **FY19**
- **FY18**
- **FY17**

Source: Office of University Development

Prepared: 10/10/2019
## FY1920 Monthly Comparison of New Gifts and Commitments

<table>
<thead>
<tr>
<th>Gift Type</th>
<th>Sept</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
<th>Jun</th>
<th>Jul</th>
<th>Aug</th>
<th>Grand Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bequest Intentions</td>
<td>$110,002</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$110,002</td>
</tr>
<tr>
<td>Pledges</td>
<td>$5,473,368</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$5,473,368</td>
</tr>
<tr>
<td>Realized Bequests</td>
<td>$3,658</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$3,658</td>
</tr>
<tr>
<td>Gifts-In-Kind</td>
<td>$1,797,235</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$1,797,235</td>
</tr>
<tr>
<td>Outright Gifts</td>
<td>$131,700</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$131,700</td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td>$7,515,963</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$7,515,963</td>
</tr>
</tbody>
</table>

### NG&C Bar - by Gift Type

Source: Office of University Development
Prepared: 10/15/2019
## Year by Year Comparison - Monthly YTD Cumulative Number of Donors

<table>
<thead>
<tr>
<th></th>
<th>Sept</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
<th>Jun</th>
<th>Jul</th>
<th>Aug</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY1920</td>
<td>701</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FY1819</td>
<td>597</td>
<td>1,065</td>
<td>1,380</td>
<td>1,897</td>
<td>2,071</td>
<td>2,254</td>
<td>2,459</td>
<td>2,660</td>
<td>2,758</td>
<td>2,802</td>
<td>2,894</td>
<td>2,979</td>
</tr>
<tr>
<td>FY1718</td>
<td>544</td>
<td>1,148</td>
<td>1,509</td>
<td>1,783</td>
<td>2,062</td>
<td>2,249</td>
<td>2,507</td>
<td>2,822</td>
<td>2,891</td>
<td>2,856</td>
<td>2,788</td>
<td>2,925</td>
</tr>
<tr>
<td>FY1617</td>
<td>626</td>
<td>1,189</td>
<td>1,549</td>
<td>2,025</td>
<td>2,234</td>
<td>2,335</td>
<td>2,530</td>
<td>2,666</td>
<td>2,808</td>
<td>2,861</td>
<td>2,926</td>
<td>3,042</td>
</tr>
</tbody>
</table>

Three Year Average: 2,982

Report includes cash, grants, GIK, planned gifts and pledges. Report includes soft credits.

Prepared: 10/10/2019
### Year by Year Comparison - Monthly Number of Gifts

<table>
<thead>
<tr>
<th></th>
<th>Sept</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
<th>Jun</th>
<th>Jul</th>
<th>Aug</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY1920</td>
<td>506</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>506</td>
</tr>
<tr>
<td>FY1819</td>
<td>374</td>
<td>359</td>
<td>355</td>
<td>528</td>
<td>243</td>
<td>217</td>
<td>220</td>
<td>292</td>
<td>174</td>
<td>149</td>
<td>190</td>
<td>231</td>
<td>3,332</td>
</tr>
<tr>
<td>FY1718</td>
<td>379</td>
<td>419</td>
<td>387</td>
<td>401</td>
<td>315</td>
<td>211</td>
<td>180</td>
<td>263</td>
<td>221</td>
<td>141</td>
<td>161</td>
<td>268</td>
<td>3,346</td>
</tr>
<tr>
<td>FY1617</td>
<td>434</td>
<td>373</td>
<td>406</td>
<td>535</td>
<td>288</td>
<td>177</td>
<td>212</td>
<td>189</td>
<td>201</td>
<td>151</td>
<td>162</td>
<td>334</td>
<td>3,462</td>
</tr>
</tbody>
</table>

Three Year Average: 3,380

Report includes cash, grants, GiK, planned gifts and pledges. Report does not include soft credits.

Prepared: 10/10/2019
### Midwestern State University Donor Designation of Gifts
**FY1920 (Sept 1, 2019 through Sept 30, 2019)**

<table>
<thead>
<tr>
<th>Category</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>University's Greatest Need</td>
<td>19</td>
<td>4%</td>
</tr>
<tr>
<td>PEC</td>
<td>15</td>
<td>3%</td>
</tr>
<tr>
<td>Colleges</td>
<td>71</td>
<td>14%</td>
</tr>
<tr>
<td>Scholarships</td>
<td>73</td>
<td>14%</td>
</tr>
<tr>
<td>Athletics</td>
<td>101</td>
<td>20%</td>
</tr>
<tr>
<td>Misc.</td>
<td>227</td>
<td>45%</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>506</strong></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

Source: Office of University Development
This report does not include pledges
Prepared: 10/10/2019
Midwestern State University
Sources of Donors
FY1920 (Sept 1, 2019 through Sept 30, 2019)

<table>
<thead>
<tr>
<th>Source</th>
<th>Contributions</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alumni/Students</td>
<td>309</td>
<td>44%</td>
</tr>
<tr>
<td>Alumni (including former students)</td>
<td>307</td>
<td></td>
</tr>
<tr>
<td>Students</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Faculty/Staff</td>
<td>62</td>
<td>9%</td>
</tr>
<tr>
<td>Active</td>
<td>54</td>
<td></td>
</tr>
<tr>
<td>Retired</td>
<td>8</td>
<td></td>
</tr>
<tr>
<td>Parents</td>
<td>9</td>
<td>1%</td>
</tr>
<tr>
<td>Friends</td>
<td>217</td>
<td>31%</td>
</tr>
<tr>
<td>Corporations</td>
<td>85</td>
<td>12%</td>
</tr>
<tr>
<td>Direct Gifts &amp; Grants</td>
<td>85</td>
<td></td>
</tr>
<tr>
<td>Matching Gifts</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Foundations</td>
<td>19</td>
<td>3%</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>701</strong></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

* 71 Alumni Donors are also Faculty/Staff
## Midwestern State University
### Faculty Staff Campaign
#### Participation Rates
##### Sept 1, 2018 thru August 31, 2019

<table>
<thead>
<tr>
<th>FY1819</th>
<th>Sept</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
<th>Jun</th>
<th>Jul</th>
<th>Aug</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fac/Staff</td>
<td>669</td>
<td>669</td>
<td>669</td>
<td>669</td>
<td>669</td>
<td>669</td>
<td>669</td>
<td>669</td>
<td>669</td>
<td>669</td>
<td>669</td>
<td>669</td>
<td>669</td>
</tr>
<tr>
<td>Donors</td>
<td>118</td>
<td>36</td>
<td>34</td>
<td>24</td>
<td>22</td>
<td>3</td>
<td>3</td>
<td>72</td>
<td>3</td>
<td>0</td>
<td>8</td>
<td>21</td>
<td>344</td>
</tr>
<tr>
<td>Participation</td>
<td>51.42%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>51.42%</td>
</tr>
</tbody>
</table>

### Reference:
- 2017/2018: 17.1%
- 2016/2017: 13.3%
Midwestern State University
Alumni Association Yearly Membership Statistics

<table>
<thead>
<tr>
<th>FY</th>
<th>Members</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018-19</td>
<td>4,195</td>
</tr>
<tr>
<td>2017-18</td>
<td>4,023</td>
</tr>
<tr>
<td>2016-17</td>
<td>3,923</td>
</tr>
<tr>
<td>2015-16</td>
<td>3,591</td>
</tr>
<tr>
<td>2014-15</td>
<td>3,233</td>
</tr>
</tbody>
</table>

3 year average – 4,047
5 year average – 3,793
Living Members (Bequest Intentions)
Anonymous (2)
Donna L. Adams
Tom Beatty, MU 1960
Ed Blankenship (‘04)
David* and Marsha Borman
Vikki Chaviers (’77, ‘99)
Lydia Copeland (’75, ‘82)
Max C. Folmar (’66)
Glynn and Judy Germany
John and Hitomo Greening (‘64) Darla
Inglish (‘86, ’97)
Leigh Kidwell (‘88)
Dr. Patricia Perryman (‘84)
Ramona Rodriguez
Bill (’84) and Gladys Sharp
Dr. Anthony E. “Tony” Stephens (‘64)
Margaret Stevens (‘49)
Janis James Stewart (’83)
Brenda JoyceTerry
Dr. R. Steven Tipps (Former Faculty)
Betty R. Wagner
Barbara McDonald White
Linda Wilson (’79)
Dr. Patricia (‘74) and Michael Wooten

<table>
<thead>
<tr>
<th></th>
<th>FY 18</th>
<th>FY 19</th>
<th>FY 20</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Gifts Confirmed</td>
<td>19</td>
<td>4</td>
<td>3</td>
<td>26</td>
</tr>
<tr>
<td>Actual Amount Confirmed</td>
<td>$ 3,241,162.00</td>
<td>$ 119,436.00</td>
<td>$ 200,002.00</td>
<td>$ 3,560,600.00</td>
</tr>
<tr>
<td>Campaign Value Confirmed</td>
<td>$ 1,883,925.00</td>
<td>$ 66,233.00</td>
<td>$ 110,002.00</td>
<td>$ 2,060,160.00</td>
</tr>
</tbody>
</table>

Number of Gifts Pending Documentation 2

www.msutexas.giftplanning.org
Establishing a solid brand identity for Midwestern State University
The MSU Texas Brand

- Established with the introduction of the MSU Texas Boundless Opportunities Campaign.
- Implemented through the Flower Mound target market.
- Developed branding for athletic programs.
MSU Texas Recruitment, Advertising
MSU Texas Athletics
Changing the URL was a necessary step to ensure that branding remained consistent and lessen the confusion of MSU vs. MWSU.
MSU Texas Public Relations

- Addition of Public Relations Specialist
- Increased storytelling
- Updated news site on homepage
- Better coordination of events
Licensing Program

- Full implementation of MSU Texas brand
- Increased visibility for the University
- Consistency of the MSU Texas brand
- Additional revenue stream
Educational value

- MSU Texas ranked #46 in the category of Social Mobility for Regional Universities in the West in U.S. News & World Report’s 2020 “Best Colleges” rankings.
- The University also recognized in U.S. News’ Campus Ethnic Diversity category.
- MSU Texas is consistently ranked nationally as one of the best Return on Investments, which means our graduates earn more on average than graduates from other universities.

BEST IN VALUE

- A Best Bang for the Buck in the South by Washington Monthly College Guide.
- Ranked No. 3 in Best Online Colleges in Texas by Accredited Schools Online.
- Ranked No. 5 in the 45 Best Value Colleges and Universities in Texas by the website Best Values Schools.
- A Top 10 School in the Texas Public University System by America Unranked.
- Ranked No. 10 of the 50 Online Colleges with the Best ROI for 2019 by College Consensus.
- Ranked No. 14 in the Top 50 Most Affordable Online Schools by Study.com.

ECONOMIC IMPACT

- $423 million: The total Economic Impact of MSU Texas on the Wichita Falls area in 2015-2016.
- $17 million: Total MSU Texas expenditures including wages and salaries, maintenance and operations, and utilities and supplies, as well as repairs and insurance in 2015-2016.
- $96 million: Total spending of MSU Texas students in 2015-2016.
- $16 million: Total dollars visitors to MSU Texas spent for meals, lodging, gas and miscellaneous items in 2015-2016.
- 36,000: Number of people from outside Wichita Falls who visited the campus for events ranging from the Artist Lecture Series to athletic events in 2010-2011.
**Midwestern State University**  
**Frank and Nancy Harvey Student Development Fund**  
**August 31, 2019**

<table>
<thead>
<tr>
<th>Description</th>
<th>Totals</th>
<th>Quasi-Endowment</th>
<th>Scholarships</th>
</tr>
</thead>
<tbody>
<tr>
<td>Balance of Fund 09-01-2018</td>
<td>$ 780,099.56</td>
<td>$ 780,099.56</td>
<td></td>
</tr>
<tr>
<td>Transferred out for scholarships 08-31-19</td>
<td></td>
<td>(30,800.00)</td>
<td>$ 30,800.00</td>
</tr>
<tr>
<td>Scholarships Awarded</td>
<td></td>
<td>(30,800.00)</td>
<td>(30,800.00)</td>
</tr>
<tr>
<td>Distribution of Earnings 08-31-2019</td>
<td>33,530.62</td>
<td>33,530.62</td>
<td></td>
</tr>
<tr>
<td>Balance of Fund 08-31-2019</td>
<td>$ 782,830.18</td>
<td>$ 782,830.18</td>
<td>$ -</td>
</tr>
<tr>
<td></td>
<td>Totals</td>
<td>Redwine Endowment</td>
<td>Redwine/Honor's Scholarships</td>
</tr>
<tr>
<td>--------------------------------------</td>
<td>-------------------------------</td>
<td>-------------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td>Beginning Fund Balance, 9-1-18</td>
<td>$12,888,319.27</td>
<td>$12,685,546.17</td>
<td>$202,773.10</td>
</tr>
<tr>
<td>Unrealized gain(loss) on 231 Krugerrands</td>
<td>69,935.25</td>
<td>69,935.25</td>
<td></td>
</tr>
<tr>
<td>Interest Earnings</td>
<td>100.20</td>
<td>27.41</td>
<td>72.79</td>
</tr>
<tr>
<td>Transfers out to Support:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mass Comm Expansion Debt Service</td>
<td>(127,999.76)</td>
<td></td>
<td>(127,999.76)</td>
</tr>
<tr>
<td>Transfers in from:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Annual Fund donations</td>
<td>50.00</td>
<td></td>
<td>50.00</td>
</tr>
<tr>
<td>Provost Faculty Development</td>
<td>600.00</td>
<td></td>
<td>600.00</td>
</tr>
<tr>
<td><strong>Texas A&amp;M System Endowment Fund:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interest &amp; Dividend Income</td>
<td>181,657.92</td>
<td>181,657.92</td>
<td></td>
</tr>
<tr>
<td>Net Realized Gains (Losses)</td>
<td>461,925.54</td>
<td>461,925.54</td>
<td></td>
</tr>
<tr>
<td>Investment Fees</td>
<td>(97,074.32)</td>
<td>(97,074.32)</td>
<td></td>
</tr>
<tr>
<td>Net Income</td>
<td>546,509.14</td>
<td>546,509.14</td>
<td></td>
</tr>
<tr>
<td>Distribution of earnings</td>
<td>(546,509.14)</td>
<td></td>
<td>546,509.14</td>
</tr>
<tr>
<td>Unrealized Appreciation (Depreciation)</td>
<td>(95,823.18)</td>
<td>(95,823.18)</td>
<td></td>
</tr>
<tr>
<td>Net change</td>
<td>(95,823.18)</td>
<td>(95,823.18)</td>
<td></td>
</tr>
<tr>
<td>Faculty Salaries</td>
<td>(12,249.98)</td>
<td>(12,249.98)</td>
<td></td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>(3,135.64)</td>
<td>(3,135.64)</td>
<td></td>
</tr>
<tr>
<td>Travel</td>
<td>(4,955.44)</td>
<td>(4,955.44)</td>
<td></td>
</tr>
<tr>
<td>Maintenance and Operations</td>
<td>(256.16)</td>
<td>(256.16)</td>
<td></td>
</tr>
<tr>
<td>Honor's Scholarships awarded</td>
<td>(386,599.00)</td>
<td></td>
<td>(386,599.00)</td>
</tr>
<tr>
<td>Total Net Change</td>
<td>(13,824.57)</td>
<td>(25,860.52)</td>
<td>12,035.95</td>
</tr>
<tr>
<td>Ending Fund Balance, 8-31-19</td>
<td>$12,874,494.70</td>
<td>$12,659,685.65</td>
<td>$214,809.05</td>
</tr>
</tbody>
</table>
Financial Report Summary

Overall, the University’s Fiscal Year 2019 budget is tracking closely to the original plan the Board approved in August 2018. Tuition and fee revenues are somewhat below budget due to the Wichita Falls campus enrollment lagging projections, and partially offset by positive DFW performance. Investment returns have been substantially better than expected, with interest earnings to help offset the tuition and fee revenue shortfall. Auxiliary revenue is also better than budget, with higher food service revenue than expected. Housing occupancy is higher than expected, with revenue very close to the original budget. Expenses have been carefully managed and are tracking within actual revenues to ensure a balanced budget and to provide a net positive income by fiscal year-end.
To: Dr. Suzanne Shipley, President
Midwestern State University
Board of Regents
Midwestern State University

From: Dr. Beth Reissenweber
Vice President for Administration and Finance
Midwestern State University


Enclosed is the unaudited financial report for Midwestern State University for the eleven months ended July 31, 2019. Total revenue for the institution, $123M, is up $9.4M or 8.3%, compared to the same period last year with the largest changes realized in other operating revenue (up $3.6M), tuition and fees (up $2.8M), investment income (up $808k), gifts (up $712k), and grants (up $681k). Operating expenses have increased from $119M to $122M, an increase of $4M, 3.6% from last year. The largest portion of this change was an increase in scholarships from $23.8M to $26.4M, 11.0%. Payroll and related costs were flat at $53.1M due to careful cost control and deployment of personnel. For example, the university has continued to require a mandatory one-month waiting period to post vacant positions. Additionally, several positions have remained unfilled to allow time to find well-qualified candidates.

Schedule 2 provides a comparison of original budgets with adjusted budgets and actuals through July 31, 2019 by fund type. The comparison of budgeted total revenue shows 104.4% of revenues have been received with one month remaining in the fiscal year. All of the state appropriations have been recognized at this time ($31.5M), as well as, most of the tuition and fees (98.0%) for the fall, spring, as well as summer terms. Sales and services of auxiliary operations has captured most revenue and is at (99.3%) of budget. Expenses are trending as expected at 78.0% with 91.7% of the year completed. The University anticipates being close to its budgeted revenue and expense budget after moderating expenses given a tuition and fee revenue shortfall.

Schedule 3 shows that the university was below on its tuition and fees (under by $1.3M or 2.5%) and $403k or 3.1% ahead on its budgeted revenue in the auxiliary revenue sources. The university budgeted $63.7M in tuition, fee and auxiliary revenues for the year. The total realized as of July 31 is $62.8M, and includes the fall, spring, and summer semesters. The University’s fall headcount was 90 below budget or 1.4% under and very close to the budgeted semester credit hours with 390 credit hours over or .5%. Spring headcount was 226 below budget or 3.8% under and also under budgeted semester credit hours by 1,046 credit hours or 1.5%. The summer enrollment headcount was 513 below budget and also under budgeted semester credit hours by 2,480 credit hours under or 14%. The University will continue to hold positions vacant...
for one month to maximize salary savings. Over realized investment income, as well as utility cost savings will also help balance the FY19 budget.

Schedule 4 reflects the use of tuition and fee reserves and available working capital balances. The schedule shows a positive amount of unbudgeted fee reserves of $5.6M at July 31. All of the uses of reserves shown in this schedule were included in the FY19 budget as presented to the Board of Regents in August 2018, or approved separately by the Board of Regents.

**Operating and Non-Operating Revenues**

Operating revenues for the University are 10.5% higher than last year, with most categories showing positive gains. Other operating revenue is up $3.6M primarily due to the receipt of funds from the sale of the Donohoo mineral interest in September 2018. Student Tuition and Fees were up $2.8M or 6.5%, due to moderate increases in rates and enrollment. Sales and Service of Auxiliary Enterprises were under by $184k or 1.4%. Non-operating revenues increased $2.3M or 5.6% comprised primarily of two large increases: 1) $712k in gift revenue due to recording the Geosciences software for a full year in FY19 but only a partial year in FY18, and 2) Investment income up $808K or 45.8%, given strong market returns and higher cash balances. Overall, operating and non-operating revenues increased from $113.6M to $123M, a difference of $9.4M or 8.3% over the prior year-to-date totals.

**Operating Expenditures**

Schedule 1 shows that total operating expenses have increased from $118.7M to $122.4M, an increase of $3.7M or 3.1%. The largest increase came from recording a full year of software maintenance expense on donated software in FY19 while only a partial year was recorded the prior year. Salaries and Wages along with Payroll Related costs, the largest expense in the budget, showed a slight decrease of $177k for this period. This is attributed to the university making a reporting change for faculty salaries from deferred pay to the prior monthly allocation method. An increase in Rentals and Leases is due to Flower Mound now being occupied with monthly rental expense requirements. Scholarships are up $2.6M or 11.0% from the prior year with the addition of the Priddy Scholars Program, the continued investment in the merit scholarship program, and increased returns on endowed scholarship funds. Under Total Operating Expenses, Interest Expense on Debt has declined $319k or 5.6% from $5.7M to $5.4M. This decrease is attributed to principal repayments and resulting declining long-term bond balances.

Schedule 2 compares eleven months of budgeted expenditures at 78.0% to actual and reflects an average expenditure pattern that shows expenses being 13.7% below expectations. Overall the University is spending less than projected at 91.7%. Areas most under budget include: Maintenance and Operations (49.2%), Graduate Assistant Salaries (57.3%), and Utilities (31.0%). The Maintenance and Operations category is where most departments carry their department “reserves” and will roll forward from one year to the next. It is therefore not
surprising that expenses would be below expectations as departments carefully manage and retain some of their budgeted funds. Summer utility expenses, especially with electricity, are higher than in the fall and spring given the summer temperatures. The expectation is that utility expenses will be closer to the budget after the summer months. There will be some utility costs savings, however, due to the favorable long-term rates negotiated with the University’s service providers. The largest positive deviation is in scholarships (99.1%). This overage in the percentage of budget completed is caused by about half of the scholarships being spent in the fall, the other half being utilized in the spring, with very little spent in the summer months. The second largest positive deviation in terms of dollars is with the Capital Outlay at 85.4%. Capital budgets are not necessarily spent ratably throughout the year, but begin and finish at different times. Faculty salaries are slightly below at 84.4% of budget because the aforementioned reporting change and several budgeted faculty positions that are vacant and/or being supplemented by the use of adjuncts and instructors. This category will smooth out over the final month of the fiscal year.
Midwestern State University
Wichita Falls, Texas

Financial Report
(Unaudited)
For the Eleven Months Ended July 31, 2019
## Operating Revenues:

<table>
<thead>
<tr>
<th>Description</th>
<th>Actual 2019</th>
<th>Actual 2018</th>
<th>YTD 2019</th>
<th>YTD 2018</th>
<th>% Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Tuition and Fees</td>
<td>4,135,760</td>
<td>3,877,770</td>
<td>46,103,873</td>
<td>43,283,748</td>
<td>37.5%</td>
</tr>
<tr>
<td>Federal Grants</td>
<td>169,229</td>
<td>305,489</td>
<td>1,706,029</td>
<td>1,398,772</td>
<td>1.4%</td>
</tr>
<tr>
<td>State Grants</td>
<td>(1,518)</td>
<td>4,221,508</td>
<td>3,409,772</td>
<td>122,736</td>
<td>3.6%</td>
</tr>
<tr>
<td>Other Grants and Contracts</td>
<td>10,722</td>
<td>150,000</td>
<td>3,203,875</td>
<td>2,955,802</td>
<td>2.6%</td>
</tr>
<tr>
<td>Sales &amp; Serv. of Educational Activities</td>
<td>36,150</td>
<td>85,532</td>
<td>1,473,218</td>
<td>1,299,981</td>
<td>1.2%</td>
</tr>
<tr>
<td>Sales &amp; Serv. of Auxiliary Enterprises</td>
<td>1,105,176</td>
<td>1,908,226</td>
<td>12,785,171</td>
<td>12,968,890</td>
<td>10.4%</td>
</tr>
<tr>
<td>Other Operating Revenue</td>
<td>158,393</td>
<td>195,906</td>
<td>5,563,671</td>
<td>1,945,309</td>
<td>4.5%</td>
</tr>
<tr>
<td><strong>Total Operating Revenues</strong></td>
<td>5,615,431</td>
<td>6,521,405</td>
<td>75,057,346</td>
<td>67,948,598</td>
<td>61.0%</td>
</tr>
</tbody>
</table>

## Nonoperating Revenues:

<table>
<thead>
<tr>
<th>Description</th>
<th>Actual 2019</th>
<th>Actual 2018</th>
<th>YTD 2019</th>
<th>YTD 2018</th>
<th>% Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Appropriations</td>
<td>1,821,300</td>
<td>1,715,640</td>
<td>20,034,299</td>
<td>19,704,571</td>
<td>16.3%</td>
</tr>
<tr>
<td>Additional State Appropriations</td>
<td>485,329</td>
<td>461,387</td>
<td>5,240,662</td>
<td>5,025,860</td>
<td>4.3%</td>
</tr>
<tr>
<td>Federal Grants (Pell)</td>
<td>380,685</td>
<td>381,994</td>
<td>9,911,289</td>
<td>9,682,037</td>
<td>8.1%</td>
</tr>
<tr>
<td>Gifts</td>
<td>71,611</td>
<td>290,243</td>
<td>5,529,448</td>
<td>4,817,640</td>
<td>4.5%</td>
</tr>
<tr>
<td>Investment Income</td>
<td>178,139</td>
<td>140,048</td>
<td>2,572,050</td>
<td>1,764,004</td>
<td>4.5%</td>
</tr>
<tr>
<td>Other Nonoperating Revenue</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total Nonoperating Revenue</strong></td>
<td>2,937,064</td>
<td>2,989,311</td>
<td>43,287,748</td>
<td>40,994,112</td>
<td>35.2%</td>
</tr>
</tbody>
</table>

## Other Revenues (HEAF Appropriation)

<table>
<thead>
<tr>
<th>Description</th>
<th>Actual 2019</th>
<th>Actual 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other Revenues (HEAF Appropriation)</td>
<td>421,784</td>
<td>421,784</td>
</tr>
<tr>
<td><strong>Total All Revenues</strong></td>
<td>8,974,279</td>
<td>9,932,501</td>
</tr>
</tbody>
</table>

## Operating Expenses:

<table>
<thead>
<tr>
<th>Description</th>
<th>Actual 2019</th>
<th>Actual 2018</th>
<th>YTD 2019</th>
<th>YTD 2018</th>
<th>% Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries and Wages</td>
<td>3,634,342</td>
<td>2,537,439</td>
<td>40,021,499</td>
<td>40,192,589</td>
<td>32.7%</td>
</tr>
<tr>
<td>Payroll Related Costs</td>
<td>1,197,288</td>
<td>1,169,124</td>
<td>13,086,778</td>
<td>12,953,786</td>
<td>10.7%</td>
</tr>
<tr>
<td>Professional Fees and Services</td>
<td>320,851</td>
<td>411,269</td>
<td>5,757,644</td>
<td>5,896,789</td>
<td>4.7%</td>
</tr>
<tr>
<td>Travel</td>
<td>114,418</td>
<td>106,711</td>
<td>1,859,460</td>
<td>1,904,799</td>
<td>1.5%</td>
</tr>
<tr>
<td>Materials and Supplies</td>
<td>531,362</td>
<td>443,630</td>
<td>8,428,641</td>
<td>7,299,939</td>
<td>6.9%</td>
</tr>
<tr>
<td>Communications and Utilities</td>
<td>192,405</td>
<td>219,023</td>
<td>2,298,380</td>
<td>2,378,953</td>
<td>1.9%</td>
</tr>
<tr>
<td>Repairs and Maintenance</td>
<td>190,608</td>
<td>143,521</td>
<td>5,757,644</td>
<td>3,212,250</td>
<td>2.9%</td>
</tr>
<tr>
<td>Rentals and Leases</td>
<td>100,927</td>
<td>177,112</td>
<td>1,305,676</td>
<td>841,421</td>
<td>1.1%</td>
</tr>
<tr>
<td>Printing and Reproduction</td>
<td>39,456</td>
<td>18,984</td>
<td>413,496</td>
<td>509,601</td>
<td>0.3%</td>
</tr>
<tr>
<td>Bad Debt Expense</td>
<td>12,500</td>
<td>12,500</td>
<td>137,500</td>
<td>137,500</td>
<td>0.1%</td>
</tr>
<tr>
<td>Interest</td>
<td>2,525</td>
<td>0.0%</td>
<td>347</td>
<td>347</td>
<td>0.0%</td>
</tr>
<tr>
<td>Depreciation</td>
<td>1,250,000</td>
<td>1,333,334</td>
<td>13,750,000</td>
<td>13,833,332</td>
<td>11.2%</td>
</tr>
<tr>
<td>Scholarships</td>
<td>858,050</td>
<td>775,993</td>
<td>26,404,953</td>
<td>23,797,412</td>
<td>21.6%</td>
</tr>
<tr>
<td>Total Operating Expenses</td>
<td>8,442,206</td>
<td>7,348,640</td>
<td>117,017,092</td>
<td>112,977,716</td>
<td>95.6%</td>
</tr>
<tr>
<td>Interest Expense on Debt</td>
<td>486,674</td>
<td>515,709</td>
<td>5,353,417</td>
<td>5,672,800</td>
<td>4.4%</td>
</tr>
<tr>
<td><strong>Total Expenditures</strong></td>
<td>8,928,880</td>
<td>7,864,349</td>
<td>122,370,509</td>
<td>118,650,516</td>
<td>100.0%</td>
</tr>
</tbody>
</table>

## Excess (Deficit) of Revenues

<table>
<thead>
<tr>
<th>Description</th>
<th>Actual 2019</th>
<th>Actual 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Excess (Deficit) of Revenues</td>
<td>45,399</td>
<td>2,068,152</td>
</tr>
<tr>
<td><strong>In Net Assets</strong></td>
<td>406,535</td>
<td>3,958,208</td>
</tr>
</tbody>
</table>

---

Midwestern State University

Comparison of Operating Results and Margin

For the Eleven Months Ended July 31, 2019

(With Comparative Totals for the Eleven Months Ended July 31, 2018)
Unaudited

Midwestern State University
Comparison of Budget to Actual
Current Operating Funds
For the Eleven Months Ended July 31, 2019

<table>
<thead>
<tr>
<th>Educational &amp; General Funds:</th>
<th>Original Budget</th>
<th>Adjusted Budget</th>
<th>Actual Year to Date</th>
<th>(Over) Under Budget</th>
<th>% of Budget Completed</th>
<th>% of Year Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenues:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Appropriations</td>
<td>$32,467,770</td>
<td>$32,734,283</td>
<td>$31,494,361</td>
<td>$1,239,922</td>
<td>96.2%</td>
<td>91.7%</td>
</tr>
<tr>
<td>Registration Tuition and Fees</td>
<td>8,096,884</td>
<td>8,096,884</td>
<td>7,484,743</td>
<td>612,141</td>
<td>92.4%</td>
<td>91.7%</td>
</tr>
<tr>
<td>Sales and Services Educational</td>
<td>500</td>
<td>500</td>
<td>250</td>
<td>250</td>
<td>100.0%</td>
<td>91.7%</td>
</tr>
<tr>
<td>State Operating Grants</td>
<td>35,546</td>
<td>86,687</td>
<td>86,687</td>
<td></td>
<td>100.0%</td>
<td>91.7%</td>
</tr>
<tr>
<td>Other Operating Revenues</td>
<td>1,575</td>
<td>1,575</td>
<td>750</td>
<td>825</td>
<td>47.6%</td>
<td>91.7%</td>
</tr>
<tr>
<td>Other Nonoperating Revenues</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment Income</td>
<td>$32,000</td>
<td>$32,000</td>
<td>$60,697</td>
<td>(28,697)</td>
<td>189.7%</td>
<td>91.7%</td>
</tr>
<tr>
<td><strong>Total Revenues:</strong></td>
<td>$40,634,275</td>
<td>$40,951,929</td>
<td>$39,127,489</td>
<td>$1,824,440</td>
<td>95.5%</td>
<td>91.7%</td>
</tr>
</tbody>
</table>

| Expenditures:                 |                 |                 |                     |                     |                      |                     |
| Regular Salaries              | $6,026,817       | $6,036,567      | $5,564,983          | $471,584            | 92.2%                | 91.7%               |
| Faculty Salaries              | 13,185,802       | 13,185,802      | 12,105,418          | 1,080,384           | 91.8%                | 91.7%               |
| Student Salaries              | 35,546           | 30,860          | 4,686               | 86.8%               | 91.7%                |                     |
| Non-Student Wages and Allowances| 250             | 3,906           | (3,656)             | 1562.5%             | 91.7%                |                     |
| Fringe Benefits               | 8,513,024        | 7,519,021       | 994,003             | 88.3%               | 91.7%                |                     |
| Maintenance and Operations    | 49,478           | 2,105,256       | 2,078,843           | 50.3%               | 91.7%                |                     |
| Travel                        |                 |                 |                     |                     |                      |                     |
| Utilities                     | 1,430,000        | 1,430,000       | 1,070,173           | 74.8%               | 91.7%                |                     |
| Capital Outlay (HEAF)         | 3,444,305        | 471,513         | (73,897)            | 118.6%              | 91.7%                |                     |
| Scholarships                  |                 |                 |                     |                     |                      |                     |
| **Total Expenditures:**       | $32,659,426      | $33,782,905     | $28,871,130         | $4,911,774          | 85.5%                | 91.7%               |

| Designated Funds:             |                 |                 |                     |                     |                      |                     |
| Revenues:                     |                 |                 |                     |                     |                      |                     |
| Registration Tuition and Fees | $42,392,076      | $42,551,682     | $41,969,664         | $582,018            | 98.6%                | 91.7%               |
| Other Operating Grants and Contracts | 1,600 | 2,322 | 1,600 | 2,322 | 100.0% | 91.7% |
| Sales and Services Educational | 861,556         | 1,635,828       | 1,466,671           | 169,158             | 89.7%                | 91.7%               |
| Other Operating Revenues      | 1,779,122        | 2,181,272       | 1,892,382           | 288,890             | 86.8%                | 91.7%               |
| Federal Nonoperating Grants   | 1,272            | 1,272           |                     |                     |                      |                     |
| Gifts                         | 297,416          | 536,729         | 465,828             | 70,901              | 86.8%                | 91.7%               |
| Other Nonoperating Revenues   |                 |                 |                     |                     |                      |                     |
| Investment Income             | 775,000          | 1,382,890       | 1,382,890           |                     |                      |                     |
| **Total Revenues:**           | $46,105,170      | $48,291,275     | $47,181,030         | $1,110,245          | 97.7%                | 91.7%               |

| Expenditures:                 |                 |                 |                     |                     |                      |                     |
| Regular Salaries              | $12,835,370      | $12,718,944     | $11,436,192         | $1,282,752          | 89.9%                | 91.7%               |
| Faculty Salaries              | 6,477,717        | 6,621,022       | 5,489,962           | 1,131,059           | 82.9%                | 91.7%               |
| Grad Assistant Salaries       | 1,144,914        | 1,627,016       | 716,309             | 910,708             | 44.0%                | 91.7%               |
| Student Salaries              | 1,009,802        | 1,155,824       | 904,617             | 251,207             | 78.3%                | 91.7%               |
| Non-Student Wages and Allowances | 514,066 | 818,619 | 688,943 | 129,676 | 84.2% | 91.7% |
| Fringe Benefits               | 5,925,429        | 4,901,816       | 1,125,141           |                     | 81.3%                | 91.7%               |
| Maintenance and Operations    | 8,241,990        | 7,702,926       | 11,306,143          | 40.5%               | 91.7%                |                     |
| Travel                        | 1,075,557        | 1,164,526       | 223,287             | 86.8%               | 91.7%                |                     |
| Utilities                     | 502,372          | 603,718         | 356,456             | 41.0%               | 91.7%                |                     |
| Capital Outlay                | 498,294          | 172,316         | 58,370              | 33.9%               | 91.7%                |                     |
| Scholarships                  | 6,741,125        | 7,022,188       | 801,695             | 88.6%               | 91.7%                |                     |
| **Total Expenditures:**       | $44,966,636      | $57,464,115     | $39,832,046         | $17,632,069         | 69.3%                | 91.7%               |

Transfers to plant funds
### Auxiliary Funds:

#### Revenues:
- Sales and Services Auxiliaries: $13,366,051
- Registration Tuition and Fees: 144,386
- Other Operating Revenues: 11,300

#### Expenditures:
- Regular Salaries: $916,339
- Grad Assistant Salaries: 22,500
- Student Salaries: 274,950

### Restricted Funds:

#### Revenues:
- Sales and Services Educational: $10,000
- Federal Operating Grants: 1,433,874
- State Operating Grants: 4,131,485

#### Expenditures:
- Regular Salaries: $651,040
- Faculty Salaries: 785,296
- Grad Assistant Salaries: 3,556

### Total Current Operating Funds

- Revenues: $121,551,044
- Expenditures: $104,630,173

**Transfers to plant funds:** $200
### Midwestern State University

**Comparison of Budgeted Revenue to Actual Revenue**

For the Eleven Months Ended July 31, 2019

#### Revenue Source

<table>
<thead>
<tr>
<th>Educational &amp; General</th>
<th>Fall</th>
<th>Spring</th>
<th>Summer</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuition</td>
<td>$3,638,645</td>
<td>$3,476,523</td>
<td>($162,122)</td>
<td>$3,511,337</td>
</tr>
<tr>
<td>Audit Fees</td>
<td>100</td>
<td>(100)</td>
<td>100</td>
<td>225</td>
</tr>
<tr>
<td>Applied Music Fees</td>
<td>7,500</td>
<td>7,140</td>
<td>(360)</td>
<td>7,500</td>
</tr>
<tr>
<td>Laboratory Fees</td>
<td>21,200</td>
<td>17,080</td>
<td>(4,120)</td>
<td>19,940</td>
</tr>
</tbody>
</table>

**Total Educational & General**

- **Revenue Source Fall** $3,667,445
- **Revenue Source Spring** $3,500,743
- **Revenue Source Summer** ($166,702)
- **Revenue Source Total** $8,097,134

#### Designated:

<table>
<thead>
<tr>
<th>Designated</th>
<th>Fall</th>
<th>Spring</th>
<th>Summer</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local Tuition</td>
<td>8,572,791</td>
<td>8,583,273</td>
<td>10,482</td>
<td>8,137,053</td>
</tr>
<tr>
<td>Tier II Tuition</td>
<td>281,100</td>
<td>305,340</td>
<td>24,240</td>
<td>251,000</td>
</tr>
<tr>
<td>Distance Learning Tuition</td>
<td>69,267</td>
<td>84,188</td>
<td>14,921</td>
<td>73,233</td>
</tr>
<tr>
<td>Distance Learning Fee</td>
<td>65,200</td>
<td>60,180</td>
<td>(5,020)</td>
<td>67,700</td>
</tr>
<tr>
<td>Student Union Fee</td>
<td>183,475</td>
<td>83,133</td>
<td>(100,342)</td>
<td>171,370</td>
</tr>
<tr>
<td>Instructional Enhancement Fee</td>
<td>1,443,237</td>
<td>1,415,910</td>
<td>(27,327)</td>
<td>1,358,399</td>
</tr>
<tr>
<td>Application Fee</td>
<td>85,000</td>
<td>67,225</td>
<td>(17,775)</td>
<td>65,000</td>
</tr>
<tr>
<td>Recreation Center Fee</td>
<td>588,231</td>
<td>587,362</td>
<td>(870)</td>
<td>556,927</td>
</tr>
<tr>
<td>Distance Learning Fee</td>
<td>5,523,144</td>
<td>5,492,135</td>
<td>(31,006)</td>
<td>5,212,512</td>
</tr>
<tr>
<td>Student Service Fee</td>
<td>1,838,475</td>
<td>1,837,445</td>
<td>(1,030)</td>
<td>1,837,130</td>
</tr>
</tbody>
</table>

**Total Designated Funds**

- **Revenue Source Fall** $19,396,315
- **Revenue Source Spring** $19,374,695
- **Revenue Source Summer** ($21,620)
- **Revenue Source Total** $42,422,873

#### Auxiliary:

<table>
<thead>
<tr>
<th>Auxiliary</th>
<th>Fall</th>
<th>Spring</th>
<th>Summer</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Center Fee</td>
<td>68,803</td>
<td>160,350</td>
<td>91,547</td>
<td>64,264</td>
</tr>
<tr>
<td>Parking Permits &amp; Fines</td>
<td>331,795</td>
<td>307,857</td>
<td>(23,938)</td>
<td>65,000</td>
</tr>
<tr>
<td>Residence Halls:</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Killingsworth</td>
<td>540,800</td>
<td>649,915</td>
<td>109,115</td>
<td>337,296</td>
</tr>
<tr>
<td>Pierce</td>
<td>454,320</td>
<td>402,729</td>
<td>(51,591)</td>
<td>240,260</td>
</tr>
<tr>
<td>Sunwatcher Village</td>
<td>1,229,500</td>
<td>1,215,645</td>
<td>(13,855)</td>
<td>778,910</td>
</tr>
<tr>
<td>Sundance Court</td>
<td>1,040,680</td>
<td>1,044,169</td>
<td>3,489</td>
<td>632,400</td>
</tr>
<tr>
<td>McCullough-Trigg</td>
<td>453,440</td>
<td>443,442</td>
<td>8,002</td>
<td>1,229,480</td>
</tr>
<tr>
<td>Legacy Hall</td>
<td>11,623,300</td>
<td>1,602,311</td>
<td>(10,039)</td>
<td>1,022,434</td>
</tr>
<tr>
<td>Food Service</td>
<td>1,887,481</td>
<td>2,035,633</td>
<td>148,152</td>
<td>1,095,676</td>
</tr>
</tbody>
</table>

**Total Auxiliary Funds**

- **Revenue Source Fall** $7,601,169
- **Revenue Source Spring** $7,622,012
- **Revenue Source Summer** $260,883
- **Revenue Source Total** $13,179,049

**Total all Funds**

- **Revenue Source Fall** $30,664,929
- **Revenue Source Spring** $30,737,490
- **Revenue Source Summer** $72,561
- **Revenue Source Total** $63,699,056

#### Headcount Enrollment

<table>
<thead>
<tr>
<th>Semester Credit Hours</th>
<th>Fall</th>
<th>Spring</th>
<th>Summer</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>6,192</td>
<td>6,102</td>
<td>(90)</td>
<td>5,941</td>
<td>5,715</td>
</tr>
</tbody>
</table>

**Total**

- **Revenue Source Fall** $27,048,963
- **Revenue Source Spring** $26,629,947
- **Revenue Source Summer** ($419,016)
- **Revenue Source Total** $5,985,163

- **Revenue Source Fall** $5,469,139
- **Revenue Source Spring** ($516,024)
- **Revenue Source Summer** $6,639,056
- **Revenue Source Total** $62,836,576

- **Revenue Source Fall** $8,621,479
- **Revenue Source Spring** ($826,479)
<table>
<thead>
<tr>
<th>Source/Use Of Funds</th>
<th>09/01/18 Beginning Balance</th>
<th>Increase/ (Decrease)</th>
<th>07/31/19 Ending Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>E &amp; G Unallocated</td>
<td>$2,128,365</td>
<td></td>
<td>$2,128,365</td>
</tr>
<tr>
<td>Commitment to FY 18-19 Budget</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HEAF Unallocated</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>Commitment to FY 18-19 Budget</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>E &amp; G - Mineral Fund</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>Commitment to FY 18-19 Budget</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Royalty Income</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>Student Service Fees</td>
<td>254,720</td>
<td>(84,077)</td>
<td>170,642</td>
</tr>
<tr>
<td>Commitment to FY 18-19 Budget</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student Union/Ctr Fee</td>
<td>(29,356)</td>
<td>29,356</td>
<td>0</td>
</tr>
<tr>
<td>Budget transfers in process</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Course Fees</td>
<td>133,509</td>
<td>(50,000)</td>
<td>83,509</td>
</tr>
<tr>
<td>Commitment to FY 18-19 Budget</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Summer 2019 instructional costs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Distance Learning Fee</td>
<td>491,567</td>
<td>(302,528)</td>
<td>189,039</td>
</tr>
<tr>
<td>Commitment to FY 18-19 Budget</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local Tuition</td>
<td>1,811,362</td>
<td>(495,631)</td>
<td>1,315,731</td>
</tr>
<tr>
<td>Commitment to FY 18-19 Budget</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>University Services Fee</td>
<td>310,650</td>
<td></td>
<td>310,650</td>
</tr>
<tr>
<td>Commitment to FY 18-19 Budget</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Study Abroad Guest Tuition</td>
<td>55,890</td>
<td></td>
<td>55,890</td>
</tr>
<tr>
<td>Commitment to FY 18-19 Budget</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Distance Learning Tuition</td>
<td>225,253</td>
<td>(64,569)</td>
<td>160,684</td>
</tr>
<tr>
<td>Commitment to FY 18-19 Budget</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Athletic Fee</td>
<td>226,010</td>
<td></td>
<td>226,010</td>
</tr>
<tr>
<td>Commitment to FY 18-19 Budget</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Three-Peat Tuition</td>
<td>12,042</td>
<td></td>
<td>12,042</td>
</tr>
<tr>
<td>Commitment to FY 18-19 Budget</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tier II Tuition</td>
<td>91,063</td>
<td>(50,412)</td>
<td>40,651</td>
</tr>
<tr>
<td>Commitment to FY 18-19 Budget</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recreation Center Fee</td>
<td>22,727</td>
<td>(12,871)</td>
<td>9,856</td>
</tr>
<tr>
<td>Commitment to FY 18-19 Budget</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>USF $6 Set-Aside</td>
<td>230,521</td>
<td>(43,933)</td>
<td>186,588</td>
</tr>
<tr>
<td>Commitment to FY 18-19 Budget</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transfers from net USF fees</td>
<td>763,775</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bond debt service</td>
<td>(273,476)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Master Lease debt service</td>
<td>(187,845)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Plant Fund</td>
<td>126,244</td>
<td>16,448</td>
<td>143,130</td>
</tr>
<tr>
<td>Income from sale of scrap equipment</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unexpended language lab project funds</td>
<td>438</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Renewal &amp; Replacement Fund</td>
<td>265,884</td>
<td></td>
<td>265,884</td>
</tr>
<tr>
<td>Renewal and replacement transfer</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>$6,356,451</td>
<td>$(755,325)</td>
<td>$5,601,126</td>
</tr>
</tbody>
</table>
Investment Report Summary

The quarterly investment report shows that as of August 31, 2019, the university held a total of $44.3 million in cash and cash investments. Of that, $12.1 million was in highly liquid cash investments, plus $2.9 million at the state treasury. Texas A&M University System (TAMUS) held $29.0 million of the funds. TAMUS cash investments earned $345,000 of interest and dividends over the quarter and $2.6 million of unrealized gains since inception. The institution kept $12.1 million in government pools (Texpool, Logic, and Class) and FDIC-insured money market investments at American National and First National Bank. These investments are all highly liquid, short-term over-night investment vehicles. The balance of the investment funds, $274,000, is held in securities donated before the institution contracted with TAMUS and was managing its own investment portfolio. The small amount of common stock, $71,000 in book value, is showing a $203,000 gain since being acquired. The university has yielded on the overall cash holdings anywhere from 3.30% to 6.21% a month over the quarter.

The university has also invested the tuition revenue bond proceeds in a flexible repurchase agreement. At the end of May, about $7.2 million was withdrawn from the flexible repurchase agreement, run through the Logic overnight investment, and then provided to the university to pay the current month construction invoices. The balance of the proceeds remaining, $13.1 million of investments earned interest income of approximately $46,400 for the quarter.

The university’s endowed funds are held at both American National Bank (ANB) with $9.9 million, and as of March 1, 2015, at TAMUS with $16.4 million. Endowment investments at TAMUS include three separate funds: pooled true endowments, the Redwine quasi-endowment, and the Donohoo quasi-endowment. The funds held by ANB had a realized gain of $8,426 in market value since last quarter and overall have appreciated market value of 18.1% since obtaining the funds. The university received a $44,036 distribution from these funds for the quarter. The TAMUS Endowment Pool had distributed realized gains of $161,427 in market value for the quarter, with an overall market gain of about 5.8% since inception. The university also received approximately $20,600 in income distributions net of fees for the quarter.
October 15, 2019

TO: The Board of Regents of Midwestern State University, and
Dr. Suzanne Shipley, President

SUBJECT: Quarterly Investment Reports

Attached are the quarterly investment reports for the fourth quarter ended August 31, 2019, as required by the amended Public Funds Investment Act.

The investment portfolio is in compliance with Midwestern State University's investment policies. The portfolio and the accompanying reports are in compliance with the provisions of the Public Funds Investment Act, TX. Gov't Code, Ch. 2256.

Chris Stovall
Controller

Beth Reissenweber
Vice President, Administration and Finance
Midwestern State University
Wichita Falls, Texas

Quarterly Investment Report
(Unaudited)
For the Fourth Quarter Ended August 31, 2019
Midwestern State University
Summary of Investments
(Pooled Investments)
At August 31, 2019

<table>
<thead>
<tr>
<th></th>
<th>Book Value</th>
<th>Book %</th>
<th>Market Value</th>
<th>Market %</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Long-term Securities:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Equity Securities:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>U.S. Common Stock</td>
<td>$70,774</td>
<td>0.17%</td>
<td>$274,140</td>
<td>0.62%</td>
</tr>
<tr>
<td><strong>Long-term Investment Pools</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Texas A&amp;M System Investment Pool</td>
<td>26,384,280</td>
<td>63.65%</td>
<td>29,016,540</td>
<td>65.51%</td>
</tr>
<tr>
<td><strong>Total Long-term Securities</strong></td>
<td>26,455,053</td>
<td>63.82%</td>
<td>29,290,680</td>
<td>66.13%</td>
</tr>
<tr>
<td><strong>Short-term Securities:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ANB ICS Money Market</td>
<td>2,024,775</td>
<td>4.88%</td>
<td>2,024,775</td>
<td>4.57%</td>
</tr>
<tr>
<td>FNB ICS Money Market</td>
<td>2,022,535</td>
<td>4.88%</td>
<td>2,022,535</td>
<td>4.57%</td>
</tr>
<tr>
<td>TexPool</td>
<td>3,017,030</td>
<td>7.28%</td>
<td>3,017,030</td>
<td>6.81%</td>
</tr>
<tr>
<td>Logic</td>
<td>2,520,382</td>
<td>6.08%</td>
<td>2,520,382</td>
<td>5.69%</td>
</tr>
<tr>
<td>Texas CLASS</td>
<td>2,529,871</td>
<td>6.10%</td>
<td>2,529,871</td>
<td>5.71%</td>
</tr>
<tr>
<td><strong>Total Short-term Securities</strong></td>
<td>12,114,593</td>
<td>29.22%</td>
<td>12,114,593</td>
<td>27.35%</td>
</tr>
<tr>
<td><strong>Total Investment Assets</strong></td>
<td>38,569,647</td>
<td>93.04%</td>
<td>41,405,273</td>
<td>93.48%</td>
</tr>
<tr>
<td><strong>Cash and Cash Equivalents:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cash Held at State Treasury</td>
<td>2,885,703</td>
<td>6.96%</td>
<td>2,885,703</td>
<td>6.52%</td>
</tr>
<tr>
<td><strong>Total Cash and Cash Equivalents</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Cash and Investments</strong></td>
<td>$41,455,350</td>
<td>100.00%</td>
<td>$44,290,976</td>
<td>100.00%</td>
</tr>
<tr>
<td><strong>Total Rate of Return</strong></td>
<td>4.48%</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Midwestern State University

Statement of Changes in Investment Assets  
(Pooled Investments)  
For the Fourth Quarter Ended August 31, 2019

<table>
<thead>
<tr>
<th></th>
<th>Book Value</th>
<th>Market Value</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Investment Assets - 05-31-19</strong></td>
<td>$33,192,236</td>
<td>$35,347,849</td>
</tr>
<tr>
<td>Principal Payments received</td>
<td>(8,000,000)</td>
<td>(8,000,000)</td>
</tr>
<tr>
<td>Investment Income</td>
<td>378,926</td>
<td>378,926</td>
</tr>
<tr>
<td>Realized Gain (Loss)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Distributions and Other</td>
<td>(1,515)</td>
<td>(1,515)</td>
</tr>
<tr>
<td>Securities Purchased</td>
<td>13,000,000</td>
<td>13,000,000</td>
</tr>
<tr>
<td>Changes in Net Unrealized Appreciation/(Depreciation)</td>
<td></td>
<td>680,013</td>
</tr>
<tr>
<td><strong>Investment Assets - 08-31-19</strong></td>
<td>$38,569,647</td>
<td>$41,405,273</td>
</tr>
</tbody>
</table>
Midwestern State University
Summary of Investments

(MSU Endowments at American Natl. Bank Trust Dept.)

At August 31, 2019

<table>
<thead>
<tr>
<th></th>
<th>Book Value</th>
<th>%</th>
<th>Market Value</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Long-term Securities:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Equity Securities:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Common Stock, Mutual Funds and ETFs</td>
<td>$4,861,280</td>
<td>58.27%</td>
<td>$6,345,304</td>
<td>64.39%</td>
</tr>
<tr>
<td>Total Equity Securities</td>
<td>$4,861,280</td>
<td>58.27%</td>
<td>$6,345,304</td>
<td>64.39%</td>
</tr>
<tr>
<td><strong>Other Securities:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>U.S. Government Agencies</td>
<td>165,459</td>
<td>1.98%</td>
<td>165,027</td>
<td>1.67%</td>
</tr>
<tr>
<td>Corporate Bonds &amp; Notes</td>
<td>3,005,602</td>
<td>36.02%</td>
<td>3,126,523</td>
<td>31.73%</td>
</tr>
<tr>
<td>Real Estate Investment Trusts (REIT)</td>
<td>196,887</td>
<td>2.36%</td>
<td>103,860</td>
<td>1.05%</td>
</tr>
<tr>
<td>Total Fixed Income Securities</td>
<td>3,367,949</td>
<td>40.36%</td>
<td>3,395,410</td>
<td>33.40%</td>
</tr>
<tr>
<td><strong>Total Long-term Securities</strong></td>
<td>$8,229,229</td>
<td>98.63%</td>
<td>$9,740,714</td>
<td>98.84%</td>
</tr>
<tr>
<td><strong>Cash and Cash Equivalents:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>U.S. Dollars</td>
<td></td>
<td>0.00%</td>
<td></td>
<td>0.00%</td>
</tr>
<tr>
<td>Goldman Sachs - Cash Equivalent</td>
<td>113,987</td>
<td>1.37%</td>
<td>113,987</td>
<td>1.16%</td>
</tr>
<tr>
<td>Total Cash and Cash Equivalents</td>
<td>113,987</td>
<td>1.37%</td>
<td>113,987</td>
<td>1.16%</td>
</tr>
<tr>
<td><strong>Total Cash and Investments</strong></td>
<td>$8,343,216</td>
<td>100.00%</td>
<td>$9,854,701</td>
<td>100.00%</td>
</tr>
</tbody>
</table>
Unaudited

Midwestern State University
Statement of Changes in Investment Assets
(MSU Endowments at American Natl. Bank Trust Dept.)
For the Fourth Quarter Ended August 31, 2019

<table>
<thead>
<tr>
<th>Description</th>
<th>Book Value</th>
<th>Market Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investment Assets - 05-31-19</td>
<td>$8,285,995</td>
<td>$9,434,326</td>
</tr>
<tr>
<td>Principal Payments Received</td>
<td>(1,443,284)</td>
<td>(1,443,284)</td>
</tr>
<tr>
<td>Investment Income</td>
<td>55,354</td>
<td>55,354</td>
</tr>
<tr>
<td>Realized Gain (Loss)</td>
<td>8,426</td>
<td>8,426</td>
</tr>
<tr>
<td>Management Fees</td>
<td>(11,318)</td>
<td>(11,318)</td>
</tr>
<tr>
<td>Distributions and Other</td>
<td>(56,088)</td>
<td>(56,088)</td>
</tr>
<tr>
<td>Securities Purchased</td>
<td>1,504,131</td>
<td>1,504,131</td>
</tr>
<tr>
<td>Changes in Net Unrealized Appreciation/(Depreciation)</td>
<td></td>
<td>363,154</td>
</tr>
<tr>
<td>Investment Assets - 08-31-19</td>
<td>$8,343,216</td>
<td>$9,854,701</td>
</tr>
</tbody>
</table>
Unaudited

Midwestern State University
Summary of Investments
(MSU Endowments Invested with the Texas A&M University System)
At August 31, 2019

<table>
<thead>
<tr>
<th></th>
<th>Book Value</th>
<th>%</th>
<th>Market Value</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Long-term Investment Pools:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Texas A&amp;M System Endowment Pool</td>
<td>$664,667</td>
<td>100.00%</td>
<td>$702,297</td>
<td>100.00%</td>
</tr>
<tr>
<td><strong>Total Long-term Investments</strong></td>
<td>$664,667</td>
<td>100.00%</td>
<td>$702,297</td>
<td>100.00%</td>
</tr>
<tr>
<td><strong>Total Investments</strong></td>
<td>$664,667</td>
<td>100.00%</td>
<td>$702,297</td>
<td>100.00%</td>
</tr>
</tbody>
</table>
### Midwestern State University

**Statement of Changes in Investment Assets**

*(MSU Endowments Invested with the Texas A&M University System)*

**For the Fourth Quarter Ended August 31, 2019**

<table>
<thead>
<tr>
<th></th>
<th>Book Value</th>
<th>Market Value</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Investment Assets - 05-31-19</strong></td>
<td>$663,667</td>
<td>$689,778</td>
</tr>
<tr>
<td><strong>Principal Payments Received</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment Income</td>
<td>2,247</td>
<td>2,247</td>
</tr>
<tr>
<td>Realized Gain (Loss)</td>
<td>6,914</td>
<td>6,914</td>
</tr>
<tr>
<td>Management Fees</td>
<td>(1,366)</td>
<td>(1,366)</td>
</tr>
<tr>
<td>Distributions and Other</td>
<td>(7,795)</td>
<td>(7,795)</td>
</tr>
<tr>
<td>Securities Purchased and Funds Transferred</td>
<td>1,000</td>
<td>1,000</td>
</tr>
<tr>
<td>Changes in Net Unrealized Appreciation/(Depreciation)</td>
<td></td>
<td>11,519</td>
</tr>
<tr>
<td><strong>Investment Assets - 08-31-19</strong></td>
<td>$664,667</td>
<td>$702,297</td>
</tr>
</tbody>
</table>
Unaudited

Midwestern State University
Summary of Investments
(Redwine Quasi-Endowment Invested with the Texas A&M University System)
At August 31, 2019

<table>
<thead>
<tr>
<th></th>
<th>Book Value</th>
<th>%</th>
<th>Market Value</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Long-term Investment Pools:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Texas A&amp;M System Endowment Pool</td>
<td>$11,527,331</td>
<td>100.00%</td>
<td>$12,304,003</td>
<td>100.00%</td>
</tr>
<tr>
<td><strong>Total Long-term Investments</strong></td>
<td>$11,527,331</td>
<td>100.00%</td>
<td>$12,304,003</td>
<td>100.00%</td>
</tr>
<tr>
<td><strong>Total Investments</strong></td>
<td>$11,527,331</td>
<td>100.00%</td>
<td>$12,304,003</td>
<td>100.00%</td>
</tr>
</tbody>
</table>
Unaudited

Midwestern State University
Statement of Changes in Investment Assets
(Redwine Quasi-Endowment Invested with the Texas A&M University System)
For the Fourth Quarter Ended August 31, 2019

<table>
<thead>
<tr>
<th>Book Value</th>
<th>Market Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investment Assets - 05-31-19</td>
<td>$11,527,331</td>
</tr>
</tbody>
</table>

Principal Payments Received

<table>
<thead>
<tr>
<th>Description</th>
<th>Book Value</th>
<th>Market Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investment Income</td>
<td>39,364</td>
<td>39,364</td>
</tr>
<tr>
<td>Realized Gain (Loss)</td>
<td>121,128</td>
<td>121,128</td>
</tr>
<tr>
<td>Management Fees</td>
<td>(23,932)</td>
<td>(23,932)</td>
</tr>
<tr>
<td>Distributions and Other</td>
<td>(136,560)</td>
<td>(136,560)</td>
</tr>
</tbody>
</table>

Securities Purchased and Funds Transferred

Changes in Net Unrealized Appreciation/(Depreciation) | 201,808

| Investment Assets - 08-31-19 | $11,527,331 | $12,304,003 |
Unaudited

Midwestern State University
Summary of Investments
(Donohoo Quasi-Endowment Invested with the Texas A&M University System)
At August 31, 2019

<table>
<thead>
<tr>
<th>Book Value</th>
<th>%</th>
<th>Market Value</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Long-term Investment Pools:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Texas A&amp;M System Endowment Pool</td>
<td>$3,306,753</td>
<td>100.00%</td>
<td>$3,391,268</td>
</tr>
<tr>
<td>Total Long-term Investments</td>
<td>3,306,753</td>
<td>100.00%</td>
<td>3,391,268</td>
</tr>
<tr>
<td>Total Investments</td>
<td>3,306,753</td>
<td>100.00%</td>
<td>3,391,268</td>
</tr>
<tr>
<td>Principal Payments Received</td>
<td>Book Value</td>
<td>Market Value</td>
<td></td>
</tr>
<tr>
<td>------------------------------------------------------------------</td>
<td>------------</td>
<td>--------------</td>
<td></td>
</tr>
<tr>
<td>Investment Income</td>
<td>10,850</td>
<td>10,850</td>
<td></td>
</tr>
<tr>
<td>Realized Gain (Loss)</td>
<td>33,386</td>
<td>33,386</td>
<td></td>
</tr>
<tr>
<td>Management Fees</td>
<td>(6,596)</td>
<td>(6,596)</td>
<td></td>
</tr>
<tr>
<td>Distributions and Other</td>
<td>(37,639)</td>
<td>(37,639)</td>
<td></td>
</tr>
<tr>
<td>Securities Purchased and Funds Transferred</td>
<td></td>
<td>55,603</td>
<td></td>
</tr>
<tr>
<td>Changes in Net Unrealized Appreciation/(Depreciation)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Investment Assets - 08-31-19                                     | $3,306,753 | $3,391,268   |
**INVESTMENT PORTFOLIO ACTIVITY**

"POOLED" INVESTMENTS

FOR THE FOURTH QUARTER ENDED AUGUST 31, 2019

<table>
<thead>
<tr>
<th>U.S. Common Stock: (Donated)</th>
<th>Principal Payments</th>
<th>Interest/ Dividends</th>
<th>Amortization/ Accretion of Prem./Disc.</th>
<th>Book Value</th>
<th>Market Value</th>
<th>Unrealized Gain (Loss)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1,000 shares - Chesapeake Utilities (CPK)</td>
<td>18,200.00</td>
<td>90,780.00</td>
<td>72,580.00</td>
<td>607.50</td>
<td>18,200.00</td>
<td>1,515.46</td>
</tr>
<tr>
<td>10 shares - Citigroup (C) - reverse split</td>
<td>1,310.00</td>
<td>621.50</td>
<td>(688.50)</td>
<td>11.49</td>
<td>1,310.00</td>
<td>43.50</td>
</tr>
<tr>
<td>45 shares Calamos Conv. &amp; High Inc. (CHY)</td>
<td>619.65</td>
<td>473.85</td>
<td>(145.80)</td>
<td>288.00</td>
<td>619.65</td>
<td>89.05</td>
</tr>
<tr>
<td>1,200 shares - CSX Corp. (CSX)</td>
<td>5,566.00</td>
<td>89,364.00</td>
<td>83,798.00</td>
<td>76.86</td>
<td>5,566.00</td>
<td>13,149.36</td>
</tr>
<tr>
<td>252 shares - Conoco Phillips (COP)</td>
<td>4,957.82</td>
<td>14,857.92</td>
<td>13,167.22</td>
<td>113.40</td>
<td>4,957.82</td>
<td>12,427.38</td>
</tr>
<tr>
<td>126 shares - Phillips 66 (PSX)</td>
<td>2,479.68</td>
<td>16,180.80</td>
<td>12,921.90</td>
<td>385.20</td>
<td>2,479.68</td>
<td>10,180.80</td>
</tr>
<tr>
<td>125 shares Berkshire (BRK-B)</td>
<td>2,631.05</td>
<td>24,677.50</td>
<td>22,046.45</td>
<td>17.41</td>
<td>2,631.05</td>
<td>379.80</td>
</tr>
<tr>
<td>856 shares - Wells Fargo (WFC)</td>
<td>24,824.00</td>
<td>37,980.72</td>
<td>32,095.75</td>
<td>22,046.45</td>
<td>24,824.00</td>
<td>10,180.80</td>
</tr>
<tr>
<td>124 shares-Manulife (MFC)</td>
<td>4,216.36</td>
<td>2,081.96</td>
<td>(2,134.40)</td>
<td>17.41</td>
<td>4,216.36</td>
<td>10,180.80</td>
</tr>
<tr>
<td>60 shares - Natl. Oil Well (NOV)</td>
<td>4,342.80</td>
<td>1,251.00</td>
<td>(3,091.80)</td>
<td>3.00</td>
<td>4,342.80</td>
<td>2,059.64</td>
</tr>
<tr>
<td>15 shares - NOW Inc. (DINO) - split/spin off</td>
<td>514.20</td>
<td>195.45</td>
<td>(318.75)</td>
<td>0.00</td>
<td>514.20</td>
<td>(318.75)</td>
</tr>
<tr>
<td>70 shares - Southwest Airlines (LUV)</td>
<td>1,112.30</td>
<td>3,332.00</td>
<td>2,219.70</td>
<td>12.60</td>
<td>1,112.30</td>
<td>1,251.00</td>
</tr>
<tr>
<td><strong>Total Common Stock</strong></td>
<td><strong>70,773.86</strong></td>
<td><strong>275,760.70</strong></td>
<td><strong>205,022.84</strong></td>
<td><strong>1,515.46</strong></td>
<td><strong>70,773.86</strong></td>
<td><strong>274,139.65</strong></td>
</tr>
<tr>
<td><strong>Sub-Total - Securities</strong></td>
<td><strong>70,773.86</strong></td>
<td><strong>275,760.70</strong></td>
<td><strong>205,022.84</strong></td>
<td><strong>1,515.46</strong></td>
<td><strong>70,773.86</strong></td>
<td><strong>274,139.65</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>U.S. Treaursy</th>
<th>Principal Payments</th>
<th>Interest/ Dividends</th>
<th>Amortization/ Accretion of Prem./Disc.</th>
<th>Book Value</th>
<th>Market Value</th>
<th>Unrealized Gain (Loss)</th>
</tr>
</thead>
<tbody>
<tr>
<td>ANB ICS Money Market</td>
<td>2.44</td>
<td>* Daily</td>
<td>2,515,834.80</td>
<td>2,515,834.80</td>
<td>1,500,000.00</td>
<td>2,000,000.00</td>
</tr>
<tr>
<td>FNB ICS Money Market</td>
<td>2.42</td>
<td>* Daily</td>
<td>2,515,640.39</td>
<td>2,515,640.39</td>
<td>1,500,000.00</td>
<td>2,000,000.00</td>
</tr>
<tr>
<td>TEXPOOL Investment Pool (1)</td>
<td>2.17</td>
<td>* Daily</td>
<td>512,644.76</td>
<td>512,644.76</td>
<td>3,500,000.00</td>
<td>1,000,000.00</td>
</tr>
<tr>
<td>LOGIC Investment Pool (1)</td>
<td>2.33</td>
<td>* Daily</td>
<td>514,385.98</td>
<td>514,385.98</td>
<td>3,000,000.00</td>
<td>1,000,000.00</td>
</tr>
<tr>
<td>TX CLASS Investment Pool (1)</td>
<td>2.28</td>
<td>* Daily</td>
<td>1,023,357.36</td>
<td>1,023,357.36</td>
<td>3,500,000.00</td>
<td>2,000,000.00</td>
</tr>
<tr>
<td>TX A&amp;M System Pool</td>
<td>5.03</td>
<td>* Variable</td>
<td>26,039,598.57</td>
<td>27,990,189.19</td>
<td>1,950,590.62</td>
<td>1,000,000.00</td>
</tr>
<tr>
<td><strong>Total Investment Pool Cash</strong></td>
<td><strong>33,121,461.86</strong></td>
<td><strong>35,347,849.18</strong></td>
<td><strong>32,091,622.36</strong></td>
<td><strong>377,410.86</strong></td>
<td><strong>38,498,872.72</strong></td>
<td><strong>41,131,133.42</strong></td>
</tr>
<tr>
<td><strong>Total Investments</strong></td>
<td><strong>$33,192,235.72</strong></td>
<td><strong>$35,347,849.18</strong></td>
<td><strong>$32,091,622.36</strong></td>
<td><strong>$378,926.32</strong></td>
<td><strong>$38,569,646.58</strong></td>
<td><strong>$41,405,273.07</strong></td>
</tr>
</tbody>
</table>

*As of August 31, 2019

(1) These investment pools are structured to maintain a constant dollar value.

Comparison to U.S. and State Treasuries

<table>
<thead>
<tr>
<th>Book Average Three-Month U.S.</th>
<th>Basis Point Spread to</th>
<th>Basis Point Spread to</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounting Yield</td>
<td>Treasury Bill</td>
<td>U.S. Treasury</td>
</tr>
<tr>
<td>June, 2019</td>
<td>3.30</td>
<td>2.22</td>
</tr>
<tr>
<td>July, 2019</td>
<td>6.21</td>
<td>2.15</td>
</tr>
<tr>
<td>August, 2019</td>
<td>3.92</td>
<td>1.99</td>
</tr>
</tbody>
</table>

This report is prepared in conformity with Midwestern State University Investment Policy and state statutes and guidelines including the Public Funds Investment Act (Tx. Gov't Code, Ch. 2256).
### LOGIC Investment Pool

<table>
<thead>
<tr>
<th>Coupon</th>
<th>Maturity</th>
<th>Stated Value 05-31-19</th>
<th>Book Value 05-31-19</th>
<th>Market Value 05-31-19</th>
<th>Unrealized Gain (Loss)</th>
<th>Purchases</th>
<th>Realized Gain (Loss)</th>
<th>Interest Earned</th>
<th>Amortization/Accretion of Prem./Disc.</th>
<th>Book Value 08-31-19</th>
<th>Market Value 08-31-19</th>
<th>Unrealized Gain (Loss)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.33</td>
<td>Daily</td>
<td>$303,922.12</td>
<td>$303,922.12</td>
<td></td>
<td>$7,178,777.98</td>
<td>$7,178,777.98</td>
<td></td>
<td>$2,150.57</td>
<td>$1,950,516.32</td>
<td>$1,950,516.32</td>
<td>$1,950,516.32</td>
<td></td>
</tr>
</tbody>
</table>

### BLB Flexible Repo Agreement

<table>
<thead>
<tr>
<th>Coupon</th>
<th>Maturity</th>
<th>Stated Value 05-31-19</th>
<th>Book Value 05-31-19</th>
<th>Market Value 05-31-19</th>
<th>Unrealized Gain (Loss)</th>
<th>Purchases</th>
<th>Realized Gain (Loss)</th>
<th>Interest Earned</th>
<th>Amortization/Accretion of Prem./Disc.</th>
<th>Book Value 08-31-19</th>
<th>Market Value 08-31-19</th>
<th>Unrealized Gain (Loss)</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.96</td>
<td>Monthly</td>
<td>18,278,995.51</td>
<td>18,278,995.51</td>
<td></td>
<td></td>
<td>7,178,777.98</td>
<td>7,178,777.98</td>
<td>44,279.14</td>
<td>11,144,496.67</td>
<td>11,144,496.67</td>
<td>11,144,496.67</td>
<td></td>
</tr>
</tbody>
</table>

**Total Bond Investments**

<table>
<thead>
<tr>
<th></th>
<th>Stated Value 05-31-19</th>
<th>Book Value 05-31-19</th>
<th>Market Value 05-31-19</th>
<th>Unrealized Gain (Loss)</th>
<th>Purchases</th>
<th>Realized Gain (Loss)</th>
<th>Interest Earned</th>
<th>Amortization/Accretion of Prem./Disc.</th>
<th>Book Value 08-31-19</th>
<th>Market Value 08-31-19</th>
<th>Unrealized Gain (Loss)</th>
</tr>
</thead>
<tbody>
<tr>
<td>LOGIC Investment Pool</td>
<td>$303,922.12</td>
<td>$303,922.12</td>
<td></td>
<td>$7,178,777.98</td>
<td>$7,178,777.98</td>
<td>$2,150.57</td>
<td>$1,950,516.32</td>
<td>$1,950,516.32</td>
<td>$1,950,516.32</td>
<td>$1,950,516.32</td>
<td></td>
</tr>
<tr>
<td>BLB Flexible Repo Agreement</td>
<td>18,278,995.51</td>
<td>18,278,995.51</td>
<td></td>
<td>7,178,777.98</td>
<td>7,178,777.98</td>
<td>44,279.14</td>
<td>11,144,496.67</td>
<td>11,144,496.67</td>
<td>11,144,496.67</td>
<td>11,144,496.67</td>
<td></td>
</tr>
</tbody>
</table>

**Total**

|                      | $18,582,917.63         | $18,582,917.63      |                       | $7,178,777.98          | $12,713,112.33 | $46,429.71          | $13,095,012.99 | $13,095,012.99                       |                      |                     |                       |

*As of August 31, 2019*

**Interest Rate on Bonds issued**

2.00% - 5.00%

This report is prepared in conformity with Midwestern State University Investment Policy and state statutes and guidelines including the Public Funds Investment Act (Tex. Gov't Code, Ch. 2256).
# MIDWESTERN STATE UNIVERSITY
## INVESTMENT PORTFOLIO ACTIVITY
### MSU ENDOWMENT INVESTMENTS - AMERICAN NATL. BANK TRUST DEPT. MANAGERS
#### FOR THE FOURTH QUARTER ENDED AUGUST 31, 2019

### Interest/Principal Dividends

<table>
<thead>
<tr>
<th>Book Value 05-31-19</th>
<th>Market Value 05-31-19</th>
<th>Unrealized Gain (Loss)</th>
<th>Purchases</th>
<th>Principal Payments</th>
<th>Realized Gain (Loss)</th>
<th>Amortization of Prem./Disc.</th>
<th>Book Value 08-31-19</th>
<th>Market Value 08-31-19</th>
<th>Unrealized Gain (Loss)</th>
</tr>
</thead>
<tbody>
<tr>
<td>05-31-19</td>
<td>05-31-19</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>08-31-19</td>
<td>08-31-19</td>
<td></td>
</tr>
<tr>
<td>478,060.46</td>
<td>478,060.46</td>
<td></td>
<td></td>
<td>477,514.15</td>
<td>841,587.92</td>
<td></td>
<td>113,986.69</td>
<td>113,986.69</td>
<td>1.16%</td>
</tr>
<tr>
<td>$113,986.69</td>
<td>$113,986.69</td>
<td></td>
<td></td>
<td>6,181.82</td>
<td>($188.24)</td>
<td></td>
<td>$113,986.69</td>
<td>$113,986.69</td>
<td>1.16%</td>
</tr>
<tr>
<td>Total Cash and Cash Equivalents</td>
<td>478,060.46</td>
<td>478,060.46</td>
<td>477,514.15</td>
<td>841,587.92</td>
<td>6,181.82</td>
<td>($188.24)</td>
<td>113,986.69</td>
<td>113,986.69</td>
<td>1.16%</td>
</tr>
</tbody>
</table>

### Purchased Interest Receivable

<table>
<thead>
<tr>
<th>Fixed Income:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>U.S. Government Agencies</td>
<td>171,820.37</td>
</tr>
<tr>
<td>Corporate Bonds &amp; Notes</td>
<td>3,009,048.71</td>
</tr>
<tr>
<td>Devonshire - REIT</td>
<td>196,887.38</td>
</tr>
<tr>
<td>Total Fixed Income Securities</td>
<td>3,377,756.46</td>
</tr>
</tbody>
</table>

### Common Stock - Equities:

| U.S. Equities | 3,737,457.73 | 4,861,308.63 | 1,123,850.90 | 864,812.36 | 595,514.57 | 8,614.65 | 24,629.21 | 4,006,755.52 | 5,454,766.17 | 1,448,010.65 | 55.35% |
| Foreign Equities | 692,720.31 | 721,751.62 | 29,031.31 | 161,804.49 | 7,725.77 | 854,524.80 | 890,538.31 | 36,013.51 | 9.04% |
| Mutual Funds - Equities | 4,430,178.04 | 5,583,060.25 | 1,152,882.21 | 1,026,616.85 | 595,514.57 | 8,614.65 | 32,354.98 | 4,861,280.32 | 6,345,304.48 | 1,484,024.16 | 64.39% |
| Total Equities | 8,825,994.96 | 9,434,325.61 | 1,148,330.65 | 1,504,131.00 | 1,443,284.31 | 8,426.41 | 54,035.91 | 8,343,215.85 | 9,854,700.68 | 1,511,484.83 | 100.00% |

### Total Endowment Investments

| at American National Bank Trust | $8,825,994.96 | $9,434,325.61 | $1,148,330.65 | $1,504,131.00 | $1,443,284.31 | $8,426.41 | $44,035.91 | $8,343,215.85 | $9,854,700.68 | $1,511,484.83 | 100.00% |

### Jun, July, and Aug activity

| Simple yield excluding mkt.value change: (Realized gain + Int.Div.Recvd. + Amort./Accr.) / (Average Book Value) | 2.35% | 48,836.52 | Market Value gain | 1,511,484.83 | 18.12% |
| (Annualized) | 8,314,605.41 | 8,343,215.85 |

This report is prepared in conformity with Midwestern State University Investment Policy and state statutes and guidelines including the Uniform Prudent Management of Institutional Funds Act (Texas Property Code Chapter 163).
**TEXAS A&M INVESTMENT MGMT FEE**

<table>
<thead>
<tr>
<th>Book Value 05-31-19</th>
<th>Market Value 05-31-19</th>
<th>Unrealized Gain (Loss)</th>
<th>Principal Payments Purchased</th>
<th>Realized Gain M matured</th>
<th>Interest/ Dividends Received (Fees Paid)</th>
<th>Amortization/ Accretion of Prem/Disc. In the Qtr.</th>
<th>Book Value 08-31-19</th>
<th>Market Value 08-31-19</th>
<th>Unrealized Gain (Loss)</th>
<th>Market Value Percentage Of Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Texas A&amp;M System Endowment Pool</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$663,666.99</td>
<td>$689,777.69</td>
<td>$26,110.70</td>
<td>$1,000.00</td>
<td>$6,913.82</td>
<td>$26,110.70</td>
<td>$1,000.00</td>
<td>$664,666.99</td>
<td>$702,296.67</td>
<td>$37,629.68</td>
<td>100.00%</td>
</tr>
<tr>
<td><strong>Total Long-term Investments</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$663,666.99</td>
<td>$689,777.69</td>
<td>$26,110.70</td>
<td>$1,000.00</td>
<td>$6,913.82</td>
<td>$880.83</td>
<td></td>
<td>$664,666.99</td>
<td>$702,296.67</td>
<td>$37,629.68</td>
<td>100.00%</td>
</tr>
<tr>
<td><strong>at Texas A&amp;M University System</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$663,666.99</td>
<td>$689,777.69</td>
<td>$26,110.70</td>
<td>$1,000.00</td>
<td>$6,913.82</td>
<td>$880.83</td>
<td></td>
<td>$664,666.99</td>
<td>$702,296.67</td>
<td>$37,629.68</td>
<td>100.00%</td>
</tr>
</tbody>
</table>

Jun, July, and Aug activity

Simple yield excluding mkt.value change: (Realized gain + Int.Div.Recvd. + Amort./Accr.) / (Average Book Value) = 4.69%

Market Value gain = 37,629.68 = 5.66%

(Annualized) 664,666.99 664,666.99

---

**REDWINE QUASI ENDOWMENT INVESTMENTS - TEXAS A&M UNIVERSITY SYSTEM ENDOWMENT POOL**

FOR THE FOURTH QUARTER ENDED AUGUST 31, 2019

<table>
<thead>
<tr>
<th>Book Value 05-31-19</th>
<th>Market Value 05-31-19</th>
<th>Unrealized Gain (Loss)</th>
<th>Principal Payments Purchased</th>
<th>Realized Gain M matured</th>
<th>Interest/ Dividends Received (Fees Paid)</th>
<th>Amortization/ Accretion of Prem/Disc. In the Qtr.</th>
<th>Book Value 08-31-19</th>
<th>Market Value 08-31-19</th>
<th>Unrealized Gain (Loss)</th>
<th>Market Value Percentage Of Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Texas A&amp;M System Endowment Pool</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$11,527,330.78</td>
<td>$12,102,194.74</td>
<td>$574,863.96</td>
<td>$0.00</td>
<td>$121,127.80</td>
<td>$121,127.80</td>
<td>$39,364.27</td>
<td>$11,527,330.78</td>
<td>$12,304,003.40</td>
<td>$776,672.62</td>
<td>100.00%</td>
</tr>
<tr>
<td><strong>Total Long-term Investments</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$11,527,330.78</td>
<td>$12,102,194.74</td>
<td>$574,863.96</td>
<td>$0.00</td>
<td>$121,127.80</td>
<td>$121,127.80</td>
<td>$39,364.27</td>
<td>$11,527,330.78</td>
<td>$12,304,003.40</td>
<td>$776,672.62</td>
<td>100.00%</td>
</tr>
<tr>
<td><strong>at Texas A&amp;M University System</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$11,527,330.78</td>
<td>$12,102,194.74</td>
<td>$574,863.96</td>
<td>$0.00</td>
<td>$121,127.80</td>
<td>$121,127.80</td>
<td>$39,364.27</td>
<td>$11,527,330.78</td>
<td>$12,304,003.40</td>
<td>$776,672.62</td>
<td>100.00%</td>
</tr>
</tbody>
</table>

Jun, July, and Aug activity

Simple yield excluding mkt.value change: (Realized gain + Int.Div.Recvd. + Amort./Accr.) / (Average Book Value) = 4.74%

Market Value gain = 776,672.62 = 6.74%

(Annualized) 11,527,330.78 11,527,330.78

---

**DONOHOO QUASI ENDOWMENT INVESTMENTS - TEXAS A&M UNIVERSITY SYSTEM ENDOWMENT POOL**

FOR THE FOURTH QUARTER ENDED AUGUST 31, 2019

<table>
<thead>
<tr>
<th>Book Value 05-31-19</th>
<th>Market Value 05-31-19</th>
<th>Unrealized Gain (Loss)</th>
<th>Principal Payments Purchased</th>
<th>Realized Gain M matured</th>
<th>Interest/ Dividends Received (Fees Paid)</th>
<th>Amortization/ Accretion of Prem/Disc. In the Qtr.</th>
<th>Book Value 08-31-19</th>
<th>Market Value 08-31-19</th>
<th>Unrealized Gain (Loss)</th>
<th>Market Value Percentage Of Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Texas A&amp;M System Endowment Pool</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$3,306,753.16</td>
<td>$3,335,644.91</td>
<td>$28,891.75</td>
<td>$0.00</td>
<td>$33,385.62</td>
<td>$33,385.62</td>
<td>$10,849.70</td>
<td>$3,306,753.16</td>
<td>$3,391,268.04</td>
<td>$84,514.88</td>
<td>27.56%</td>
</tr>
<tr>
<td><strong>Total Long-term Investments</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$3,306,753.16</td>
<td>$3,335,644.91</td>
<td>$28,891.75</td>
<td>$0.00</td>
<td>$33,385.62</td>
<td>$33,385.62</td>
<td>$10,849.70</td>
<td>$3,306,753.16</td>
<td>$3,391,268.04</td>
<td>$84,514.88</td>
<td>27.56%</td>
</tr>
<tr>
<td><strong>at Texas A&amp;M University System</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$3,306,753.16</td>
<td>$3,335,644.91</td>
<td>$28,891.75</td>
<td>$0.00</td>
<td>$33,385.62</td>
<td>$33,385.62</td>
<td>$10,849.70</td>
<td>$3,306,753.16</td>
<td>$3,391,268.04</td>
<td>$84,514.88</td>
<td>27.56%</td>
</tr>
</tbody>
</table>

Jun, July, and Aug activity

Simple yield excluding mkt.value change: (Realized gain + Int.Div.Recvd. + Amort./Accr.) / (Average Book Value) = 4.55%

Market Value gain = 37,639.00 = 2.56%

(Annualized) 3,306,753.16 3,306,753.16

---

This report is prepared in conformity with Midwestern State University Investment Policy and state statutes and guidelines including the Uniform Prudent Management of Institutional Funds Act (Texas Property Code Chapter 163).
Midwestern State University
Historical Yields

Percent

09/01/10 01/01/11 09/01/11 01/01/12 09/01/12 01/01/13 09/01/13 01/01/14 09/01/14 01/01/15 09/01/15 01/01/16 09/01/16 01/01/17 09/01/17 01/01/18 09/01/18 01/01/19 09/01/19

0 2 4 6 8 10 12 14

MSU Yield
3 Mo. Treasury
Texas Treasury
Texas Texpool
Summary of the Personnel Position Status Reports for 9/1/18 – 8/31/19

January 2019  
New Position (Gift-Funded) – Asst. Director, Nonprofit Management Center  
**Net position change: +1 (Professional, Non-Faculty)**  
Ratified by Board of Regents, 5/9/19

March 2019  
Increased Duties – College Coordinator – Career Management Center  
(position increased to full-time)  
**Net position change: +.25 (Professional, Non-Faculty)**  
Ratified by Board of Regents, 5/9/19

  Changed Administrative Assistant to Admissions Counselor, Admissions  
**Net position change: 0 (-1 Clerical/Secretarial; +1 Professional Non-Faculty)**  
Ratified by Board of Regents, 5/9/19

August 2019  
New One-Half Time Position – Coordinator, Dual Credit, Admissions Office  
**Net position change: .50 (Professional, Non-Faculty)**  
Presented for Ratification by Board of Regents, 11/7/19

**Total net new positions as of 8/31/19 = 1.75**
## Midwestern State University

**Personnel Position Status Report**

**July 31, 2019**

<table>
<thead>
<tr>
<th>Positions</th>
<th>Approved Budget FTE</th>
<th>Approved Budget Amount</th>
<th>Positions Added FTE</th>
<th>Positions Added Amount</th>
<th>Total Positions FTE</th>
<th>Total Positions Amount</th>
<th>Salary (Saved) FTE</th>
<th>Salary (Saved) Amount</th>
<th>Filled Positions FTE</th>
<th>Filled Positions Amount</th>
<th>Vacant Positions FTE</th>
<th>Vacant Positions Amount</th>
<th>Total Current Positions FTE</th>
<th>Total Current Positions Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Executive, Administrators &amp; Managerial</td>
<td>50.59</td>
<td>5,564,684</td>
<td>0.00</td>
<td>0.00</td>
<td>50.59</td>
<td>5,564,684</td>
<td>4.575</td>
<td>1</td>
<td>49.97</td>
<td>5,483,285</td>
<td>0.62</td>
<td>85,974</td>
<td>50.59</td>
<td>5,569,259</td>
</tr>
<tr>
<td>Regular Faculty</td>
<td>257.25</td>
<td>18,503,410</td>
<td>0.00</td>
<td>0.00</td>
<td>257.25</td>
<td>18,503,410</td>
<td>5.000</td>
<td>3</td>
<td>240.62</td>
<td>17,563,403</td>
<td>16.63</td>
<td>945,007</td>
<td>257.25</td>
<td>18,508,410</td>
</tr>
<tr>
<td>Professional Non-Faculty</td>
<td>174.54</td>
<td>7,751,924</td>
<td>2.00</td>
<td>0.25</td>
<td>176.79</td>
<td>7,751,924</td>
<td>(47.953)</td>
<td>2</td>
<td>171.29</td>
<td>7,471,688</td>
<td>5.50</td>
<td>232,283</td>
<td>176.79</td>
<td>7,703,971</td>
</tr>
<tr>
<td>Clerical and Secretarial</td>
<td>93.58</td>
<td>2,484,310</td>
<td>0.00</td>
<td>(1.00)</td>
<td>92.58</td>
<td>2,484,310</td>
<td>(16,985)</td>
<td>3</td>
<td>91.58</td>
<td>2,375,378</td>
<td>1.00</td>
<td>91,947</td>
<td>92.58</td>
<td>2,467,325</td>
</tr>
<tr>
<td>Tech &amp; Paraprofessional</td>
<td>21.75</td>
<td>1,014,575</td>
<td>0.00</td>
<td>0.00</td>
<td>21.75</td>
<td>1,014,575</td>
<td>(1,402)</td>
<td>4</td>
<td>20.75</td>
<td>971,865</td>
<td>1.00</td>
<td>41,308</td>
<td>21.75</td>
<td>1,013,173</td>
</tr>
<tr>
<td>Skilled Craft</td>
<td>29.00</td>
<td>1,018,774</td>
<td>0.00</td>
<td>0.00</td>
<td>29.00</td>
<td>1,018,774</td>
<td>0</td>
<td>28.00</td>
<td>989,457</td>
<td>1.00</td>
<td>29,317</td>
<td>29.00</td>
<td>1,018,774</td>
<td></td>
</tr>
<tr>
<td>Service &amp; Maintenance</td>
<td>70.00</td>
<td>1,575,986</td>
<td>0.00</td>
<td>0.00</td>
<td>70.00</td>
<td>1,575,986</td>
<td>(18,235)</td>
<td>5</td>
<td>61.00</td>
<td>1,417,959</td>
<td>9.00</td>
<td>139,792</td>
<td>70.00</td>
<td>1,557,751</td>
</tr>
<tr>
<td>Police</td>
<td>14.00</td>
<td>577,734</td>
<td>0.00</td>
<td>0.00</td>
<td>14.00</td>
<td>577,734</td>
<td>36.095</td>
<td>14.00</td>
<td>613,829</td>
<td>0.00</td>
<td>0</td>
<td>14.00</td>
<td>613,829</td>
<td></td>
</tr>
<tr>
<td><strong>Grand Totals</strong></td>
<td><strong>710.71</strong></td>
<td><strong>38,491,397</strong></td>
<td><strong>2.00</strong></td>
<td><strong>(0.75)</strong></td>
<td><strong>711.96</strong></td>
<td><strong>38,491,397</strong></td>
<td><strong>(38,905)</strong></td>
<td><strong>34.75</strong></td>
<td><strong>36,886,864</strong></td>
<td><strong>1,565,628</strong></td>
<td><strong>711.96</strong></td>
<td><strong>38,452,492</strong></td>
<td><strong>34.75</strong></td>
<td><strong>36,886,864</strong></td>
</tr>
</tbody>
</table>
## Midwestern State University
Personnel Position Status Report
August 31, 2019

<table>
<thead>
<tr>
<th>Positions</th>
<th>Approved Budget</th>
<th>Positions Added</th>
<th>(Deleted)</th>
<th>Total Positions</th>
<th>Salary (Saved)</th>
<th>Filled Positions</th>
<th>Vacant Positions</th>
<th>Total Current Positions</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FTE</td>
<td>Amount</td>
<td>FTE</td>
<td>Amount</td>
<td>FTE</td>
<td>Amount</td>
<td>FTE</td>
<td>Amount</td>
</tr>
<tr>
<td>Executive, Administrators &amp; Managerial</td>
<td>50.59</td>
<td>5,564,684</td>
<td>0.00</td>
<td>0.00</td>
<td>50.59</td>
<td>5,564,684</td>
<td>1</td>
<td>49.97</td>
</tr>
<tr>
<td>Regular Faculty</td>
<td>257.25</td>
<td>18,503,410</td>
<td>0.00</td>
<td>0.00</td>
<td>257.25</td>
<td>18,503,410</td>
<td>5,000</td>
<td>240.62</td>
</tr>
<tr>
<td>Professional Non-Faculty</td>
<td>174.54</td>
<td>7,751,924</td>
<td>2.75</td>
<td>0.00</td>
<td>177.29</td>
<td>7,751,924</td>
<td>(37,833)</td>
<td>2</td>
</tr>
<tr>
<td>Clerical and Secretarial</td>
<td>93.58</td>
<td>2,484,310</td>
<td>0.00</td>
<td>(1.00)</td>
<td>92.58</td>
<td>2,484,310</td>
<td>(17,675)</td>
<td>3</td>
</tr>
<tr>
<td>Tech &amp; Paraprofessional</td>
<td>21.75</td>
<td>1,014,575</td>
<td>0.00</td>
<td>0.00</td>
<td>21.75</td>
<td>1,014,575</td>
<td>(1,402)</td>
<td>20.75</td>
</tr>
<tr>
<td>Skilled Craft</td>
<td>29.00</td>
<td>1,018,774</td>
<td>0.00</td>
<td>0.00</td>
<td>29.00</td>
<td>1,018,774</td>
<td>0</td>
<td>28.00</td>
</tr>
<tr>
<td>Service &amp; Maintenance</td>
<td>70.00</td>
<td>1,575,986</td>
<td>0.00</td>
<td>0.00</td>
<td>70.00</td>
<td>1,575,986</td>
<td>(21,258)</td>
<td>4</td>
</tr>
<tr>
<td>Police</td>
<td>14.00</td>
<td>577,734</td>
<td>0.00</td>
<td>0.00</td>
<td>14.00</td>
<td>577,734</td>
<td>36,095</td>
<td>14.00</td>
</tr>
<tr>
<td><strong>Grand Totals</strong></td>
<td><strong>710.71</strong></td>
<td><strong>38,491,397</strong></td>
<td><strong>2.75</strong></td>
<td><strong>(1.00)</strong></td>
<td><strong>712.46</strong></td>
<td><strong>38,491,397</strong></td>
<td><strong>3,699</strong></td>
<td><strong>677.71</strong></td>
</tr>
</tbody>
</table>
Midwestern State University Reporting of Personnel Changes
FY 2019
July - August

I. ENTERING EMPLOYEES

1. Jefferson Clemmons – Residence Hall Director, Residence Life and Housing – 07/01/19
2. Kenneth Daugherty – Web Designer, Marketing and Public Information – 07/01/19
3. Richard Keen - Residence Hall Director, Residence Life and Housing – 07/01/19
4. Tracee Robertson – Museum Director, Wichita Falls Museum of Art at MSU – 07/01/19
5. Kim Moran – Plumber, Facilities Services – 07/08/19
6. Neysa Colvin – Assistant to Registrar, Registrar – 07/15/19
8. Kaylor Winter-Roach – Secretary, Music – 07/15/19
9. Vernon Gordon – Custodian, Facilities Services – 07/16/19
10. Ryan McGowan - Audio Visual Technician, Information Technology – 07/22/19
11. Sonny Seyler – Administrative Assistant, Registrar – 07/24/19
12. John Cardenas – Custodian, Facilities Services – 07/29/19
13. Ronald Gordon – BSN Nurse Educator, Regional Simulation Center – 07/29/19
14. Heidi Hakimi-Hood – Program Specialist – Intensive English Language Institute – 08/01/19
15. Amanda Awtrey – Dual Credit Coordinator, Admissions – 08/05/19
16. Dominique Bradley – Registrar Assistant I, Registrar – 08/06/19
17. Selene Gonzales Jimenez – Financial Aid Processor/Counselor – 08/05/19
18. Philip Aragon – Custodian, Facilities Services – 08/12/19
19. Kamy Holloway – Secretary, Radiologic Science – 08/12/19
20. Beth Reissenweber – Vice President, Administration and Finance – 08/15/19
21. John Ashbrook – Associate Professor/Chair, History – 08/19/19
22. Melanie Billmeier – Assistant Professor, Radiologic Science Flower Mound – 08/19/19
23. Christy Bowen – Assistant Professor, Nursing – 08/19/19
24. Eunjie Cho – Assistant Professor, Mass Communication – 08/19/19
25. Jennifer Dawes - Professor/Chair English, Humanities and Philosophy – 08/19/19
26. Paul Dease - Visiting Assistant Professor, Music – 08/19/19
27. Rebekah Dowd - Assistant Professor, Political Science – 08/19/19
28. Esi Elliot - Assistant Professor, Marketing – 08/19/19
29. Tracie Fulton – Assistant Professor, Nursing – 08/19/19
30. Kyung Gagum - Assistant Professor, World Languages and Cultures – 08/19/19
31. Paul Geraci - Visiting Assistant Professor, Music – 08/19/19
32. William Hayter - Visiting Assistant Professor, Music – 08/19/19
33. Morgan Mallory – Visiting Assistant Professor, Theatre – 08/19/19
34. Jacob Mescher – Lecturer, Mathematics – 08/19/19
35. Michael Olson – Associate Professor/Chair, Athletic Training/Exercise Physiology – 08/19/19
36. Jennifer Pace – Assistant Professor, Sociology – 08/19/19
37. Kimberly Platt – Assistant Professor, Nursing – 08/19/19
38. Pranaya Pokharel – Visiting Assistant Professor, Engineering
39. Laura Poston – Visiting Instructor, Athletic Training – 08/19/19
40. Sarah Quintanar – Associate Professor, Economics – 08/19/19
41. Corey Robinson – Visiting Assistant Professor, Music – 08/19/19
42. Emily Weitzel – Assistant Professor, Nursing – 08/19/19
43. Melissa Witherspoon – Assistant Professor, Nursing – 08/19/19
44. Anne Blankenship – Assistant Professor, Nursing – 08/19/19
45. Linda Gonzalez – Visiting Assistant Professor, World Languages and Culture
46. Dreama Torres – Custodian, Facilities Services – 08/26/19

II. EXITING EMPLOYEES

1. Megan Franks – Administrative Assistant, Registrar – 07/05/19
2. Jenny Schroeder – Academic Counselor Coordinator, Dillard College of Business – 07/05/19
3. Richard Will Edwards – Sports Information Director, Athletics – 07/10/19
4. Roland Glean – Director, International Services – 07/12/19
5. Cameron Hughes – Police Officer III, University Police – 07/14/19
6. Gary Neal – Custodian, Facilities Services – 07/26/19
7. Holley Munholland – Secretary, Radiology Science – 07/31/19
8. Ashley Baird – Assistant to the Registrar, Registrar – 08/01/19
9. Claudio Rodriguez – Residence Hall Director, Residence Life and Housing – 08/01/19
10. Randy Roanhaus – Manager, Accreditation, Dillard College of Business – 08/02/19
11. Samantha Carter - Instructor, Athletic Training/Exercise Physiology – 08/08/19
12. Conna Bral - Manager, Accreditation for West College of Education – 08/09/19
13. Christopher Pittman - Custodian, Facilities Services – 08/09/19
14. Valencia Tamper - Assistant Professor, World Languages and Cultures – 08/09/19
15. Aaron Sanders – Assistant to Registrar, Registrar – 08/21/19
16. Joel Mack – Instructor, Nursing – 08/23/19
17. Crystal Boyle - Assistant Director, Extended Education, 08/27/19
18. Jean Castle-Wade - Police Communication Operator, 08/31/19
19. Dale Heidebrecht - Assistant Professor, Music, 08/31/19
20. Christie Maturo - Assistant Professor, Theatre, 08/31/19
21. Cy Whaley – Associate Professor – 08/31/19

III. RETIRING EMPLOYEES

1. Ray Villarreal – Instructor, Radiologic Science – 07/31/19
2. Vikki Chaviers – Professional Counselor, Counseling Center – 08/31/19
3. Richard Simpson – Assistant Professor, Computer Science – 08/31/19
Summary of the Personnel Position Status Reports for 9/1/19 – 9/30/19

Total net new positions as of 9/30/19 = 0.0
<table>
<thead>
<tr>
<th>Positions</th>
<th>Approved Budget 9/1/2019 fte</th>
<th>Amount</th>
<th>Positions Added fte</th>
<th>(Deleted) Amount</th>
<th>Total Positions fte</th>
<th>Amount</th>
<th>Salary (Saved) Added</th>
<th>Filled Positions fte</th>
<th>Amount</th>
<th>Vacant Positions fte</th>
<th>Amount</th>
<th>Total Current Positions fte</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Executive, Administrators &amp; Managerial</td>
<td>50.72</td>
<td>5,819,990</td>
<td>0.00</td>
<td>0.00</td>
<td>50.72</td>
<td>5,819,990</td>
<td>0</td>
<td>49.72</td>
<td>5,716,724</td>
<td>1.00</td>
<td>103,266</td>
<td>50.72</td>
<td>5,819,990</td>
</tr>
<tr>
<td>Regular Faculty</td>
<td>259.12</td>
<td>18,853,090</td>
<td>0.00</td>
<td>0.00</td>
<td>259.12</td>
<td>18,853,090</td>
<td>(15,870) 1</td>
<td>246.12</td>
<td>18,105,096</td>
<td>13.00</td>
<td>732,124</td>
<td>259.12</td>
<td>18,837,220</td>
</tr>
<tr>
<td>Professional Non-Faculty</td>
<td>180.29</td>
<td>7,974,233</td>
<td>0.00</td>
<td>0.00</td>
<td>180.29</td>
<td>7,974,233</td>
<td>191</td>
<td>166.79</td>
<td>7,472,197</td>
<td>13.50</td>
<td>502,227</td>
<td>180.29</td>
<td>7,974,424</td>
</tr>
<tr>
<td>Clerical and Secretarial</td>
<td>92.58</td>
<td>2,477,013</td>
<td>0.00</td>
<td>0.00</td>
<td>92.58</td>
<td>2,477,013</td>
<td>0</td>
<td>88.58</td>
<td>2,403,622</td>
<td>4.00</td>
<td>73,391</td>
<td>92.58</td>
<td>2,477,013</td>
</tr>
<tr>
<td>Tech &amp; Paraprofessional</td>
<td>21.75</td>
<td>1,020,399</td>
<td>0.00</td>
<td>0.00</td>
<td>21.75</td>
<td>1,020,399</td>
<td>0</td>
<td>19.75</td>
<td>930,339</td>
<td>2.00</td>
<td>90,060</td>
<td>21.75</td>
<td>1,020,399</td>
</tr>
<tr>
<td>Skilled Craft</td>
<td>30.00</td>
<td>1,031,674</td>
<td>0.00</td>
<td>0.00</td>
<td>30.00</td>
<td>1,031,674</td>
<td>0</td>
<td>28.00</td>
<td>1,002,357</td>
<td>2.00</td>
<td>29,317</td>
<td>30.00</td>
<td>1,031,674</td>
</tr>
<tr>
<td>Service &amp; Maintenance</td>
<td>72.00</td>
<td>1,616,695</td>
<td>0.00</td>
<td>0.00</td>
<td>72.00</td>
<td>1,616,695</td>
<td>0</td>
<td>60.00</td>
<td>1,432,566</td>
<td>12.00</td>
<td>184,129</td>
<td>72.00</td>
<td>1,616,695</td>
</tr>
<tr>
<td>Police</td>
<td>14.00</td>
<td>619,405</td>
<td>0.00</td>
<td>0.00</td>
<td>14.00</td>
<td>619,405</td>
<td>0</td>
<td>12.00</td>
<td>532,887</td>
<td>2.00</td>
<td>86,518</td>
<td>14.00</td>
<td>619,405</td>
</tr>
<tr>
<td><strong>Grand Totals</strong></td>
<td><strong>720.46</strong></td>
<td><strong>39,412,499</strong></td>
<td><strong>0.00</strong></td>
<td><strong>0.00</strong></td>
<td><strong>720.46</strong></td>
<td><strong>39,412,499</strong></td>
<td>(15,679) <strong>49.50</strong></td>
<td><strong>670.96</strong></td>
<td><strong>37,595,788</strong></td>
<td><strong>49.50</strong></td>
<td><strong>1,801,032</strong></td>
<td><strong>720.46</strong></td>
<td><strong>39,396,820</strong></td>
</tr>
</tbody>
</table>
Midwestern State University Reporting of Personnel Changes
FY 2020
September

I. ENTERING EMPLOYEES

1. Andrew Bern – Assistant Sports Information Director – 09/03/19
2. Danielle McAfee – Assistant Director, Distance Education – 09/23/19

II. EXITING EMPLOYEES

1. Mandi Peterman – Assistant Director, Admissions – 09/06/19
2. Stacey Smith – Secretary, Nursing – 09/08/19
3. Christina Britt – Secretary, Computer Science – 09/27/19
4. Lynda Cannedy – Assistant Director, Small Business Development Center – 09/30/19
5. Syreeta Greene – Director, MOSAIC Cross Cultural Center – 09/30/19

III. RETIRING EMPLOYEES

1. Kay Hardin – Secretary, History – 09/30/19
Construction Projects Status Report – Item 20-26

Projects completed since the August 2019 Board of Regents meeting includes:

1. EXPANSION OF NORTH CENTENNIAL PARKING LOT, +39 SPACES ($159.6k).
2. REPLACEMENT OF FIVE WORN OUT STEAM EXPANSION JOINTS IN THE TUNNEL ($35k).
3. REPAIRS TO “A” TUNNEL CEILING NEAR MEMORIAL ($67.6k).
4. CONVERSION OF BOLIN 212 INTO TWO RESEARCH LABS ($13.6k).
5. REMOVAL OF A WALL IN THE LIFELONG LEARNING CENTER TO INCREASE CLASSROOM SPACE ($11.1k).
6. INTERIOR AND EXTERIOR REPAIRS TO 2514 HAMPSTEAD HOUSE (<$5k).

Ongoing projects:

**HEALTH SCIENCES AND HUMAN SERVICES BUILDING: $41.6 MM**
- Began full use of the facility on the first day of school, 8/26/19. Contractor is resolving punch list items which will continue through early November.

**MOFFETT LIBRARY RENOVATIONS: $7.433 MM**
- Renovations of the library in two phases: Phase 1 remodeled six restrooms and installed an elevator, and Phase 2 renovates the third floor and half the second (Phase 2A) followed by the first floor and the second half of the second floor (Phase 2B).
- Phase 1 rebuild of restrooms and elevator installation complete.
- Opened the entire second floor ahead of schedule on 8/26/19 for student use as part of Phase 2A. Only minor punch list items remain for Phase 2A.
- Phase 2B: Completed first floor demo and erected the three study pods. Above ceiling electrical and HVAC work in progress.

**TEXAS ACCESSIBILITY STANDARDS (TAS), AMERICANS WITH DISABILITIES ACT (ADA), AND FIRE MARSHAL UPGRADES PROJECT: $5.113 MM**
- Upgrades to Bolin, Fain Fine Arts, Ferguson, and Hardin for a 2013 fire marshal inspection and TAS needs. Major construction efforts over the summers of 2018 and 2019.
- Major changes at Bolin and Fain Fine Arts complete, including the renovation of two restrooms in Fain Fine Arts which occurred over this past summer.
- Upgrades at Akin including interior/exterior ramp installs, restroom renovations, and fire sprinklers, as well as two restroom renovations in Hardin are approximately 95% complete. Remaining issue is installation of handicap door operators on several doors at Hardin and Akin.
- Ferguson fire exit doors from stairwells were installed over the summer.
HEALTH SCIENCES AND HUMAN SERVICES LANDSCAPING AND PARKING
PROJECT: $2.788 MM
- HS+HS LANDSCAPING - $424k
  o Landscaping of the area surrounding the new HS+HS building.
  o Work was completed in early October, including the installation of sod. Project is complete other than some punch list items.
- QUAD LANDSCAPING - $1.448 MM
  o Landscaping design of the quad area east of the new Health Sciences and Human Services (HS+HS) building and bounded by J.S. Bridwell Hall, Dillard Building, and McCoy Hall. Includes an emergency vehicle access path and four mustang statues.
  o Work was completed in early October. Project is complete other than punch list items related to the water feature, and TAS/ADA access to the water feature.
- ROGERS PROMENADE EXTENSIONS - $200k + $360k
  o Two potential extensions to Jesse Rogers Promenade from Comanche to the south end of the new HS+HS quad.
  o North extension construction completed (south extension was not funded).
- HAMPSTEAD PARKING LOT - $356k
  o Project complete.

REPLACEMENT OF LOTS 3 & 6N SOUTH OF PROTHRO-YEAGER: $801,490
- Replacement of the lot south of Prothro-Yeager-Beawood-O’Donohoe over the summer of 2018 using HEAF funds. Also included an extension of Jesse Rogers Promenade south to Nocona (i.e., east side of Mass Comm).
- Construction of parking lot completed in mid-August 2018 and began use prior to classes starting.
- Rework required on southeast corner of Jesse Rogers Promenade (south) extension for it to meet Texas Accessibility Standards was completed by 9/1/19.

FACILITIES’ SHOPS BUILDING: $2.77 MM
- Construction of a Facilities Services’ shops building and fleet storage yard where the University Police Department was located beginning summer of 2019.
- Building pad has been installed and currently working on the under-slab utility installations and grade beams.

BRIDWELL COURTS PARKING LOT ADDITION: $197k
- Construction of a 50 space parking lot on the eastern half of the old Bridwell Courts apartment site.
- Construction began in late July and will be completed by mid-October for student use.

ADDITIONAL PROJECTS <$100k:
Projects in process scheduled for completion this winter include:

1. Installation of a new monument sign for the Museum near Midwestern Parkway ($43.6k).
### Status of Board-Approved Construction Projects

<table>
<thead>
<tr>
<th>Project</th>
<th>BOR Project Approval Date</th>
<th>Architect/Engineering Firm Approved</th>
<th>BOR Approved Project Budget</th>
<th>Project Budget After Reallocated Contingencies (1)</th>
<th>Encumbered/Spent Dollars</th>
<th>Additional Projected Costs</th>
<th>Total Project Cost</th>
<th>Over/(Under) Reallocated Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>TAS-ADA/Fire Marshal Upgrades</td>
<td>11/13/2015, 5/13/2016</td>
<td>2/12/2016; Harper-Perkins Architects</td>
<td>$5,586,513</td>
<td>$5,113,320</td>
<td>$5,098,048</td>
<td>$15,272</td>
<td>$5,113,320</td>
<td>-</td>
</tr>
<tr>
<td>Centennial Hall</td>
<td>11/13/2015, 5/13/2016, 12/13/2017</td>
<td>2/12/2016; Randall Scott Architects</td>
<td>$42,000,000</td>
<td>$41,620,601</td>
<td>$41,553,521</td>
<td>$67,080</td>
<td>$41,620,601</td>
<td>-</td>
</tr>
<tr>
<td>IT Relocation Project</td>
<td>11/10/2017</td>
<td>Datacom Design Group</td>
<td>$1,660,271</td>
<td>$1,315,884</td>
<td>$1,215,884</td>
<td>$100,000</td>
<td>$1,315,884</td>
<td>-</td>
</tr>
<tr>
<td>Moffett Library Renovation Project</td>
<td>11/13/15, 8/5/2017</td>
<td>8/5/2017; Holzman Moss Bottino Architects</td>
<td>$7,479,087</td>
<td>$7,479,087</td>
<td>$6,923,298</td>
<td>$555,789</td>
<td>$7,479,087</td>
<td>-</td>
</tr>
<tr>
<td>Bridwell Renovation</td>
<td>11/13/2015, 5/13/2016, 11/8/18, 5/9/19</td>
<td>8/3/18; Harper-Perkins Architects</td>
<td>$1,600,000</td>
<td>$1,662,686</td>
<td>$1,565,686</td>
<td>$97,000</td>
<td>$1,662,686</td>
<td>-</td>
</tr>
<tr>
<td>Facilities Complex Project</td>
<td>2/14/2019</td>
<td>Bundy, Young, Sims &amp; Potter</td>
<td>$2,770,000</td>
<td>$2,770,000</td>
<td>$2,706,341</td>
<td>$63,659</td>
<td>$2,770,000</td>
<td>-</td>
</tr>
<tr>
<td><strong>TRB Projects Total (Facilities Shops EXCLUDED)</strong></td>
<td></td>
<td></td>
<td>$61,125,871</td>
<td>$59,951,435</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TRB &amp; non-TRB funds available</strong></td>
<td></td>
<td></td>
<td>$60,043,145</td>
<td>$60,043,145</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Over/(Under) Budget</strong></td>
<td></td>
<td></td>
<td>$1,082,726</td>
<td>(91,710)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(1) Reallocated contingency dollars among TRB projects per approved August 1, 2019 BOR agenda item 1
(2) Projected overage due to sod addition and TAS/ADA access to two horses.
## Projects Status as of 10-9-19

<table>
<thead>
<tr>
<th>ID</th>
<th>Task Name</th>
<th>Start</th>
<th>Finish</th>
<th>2017</th>
<th>2018</th>
<th>2019</th>
<th>2020</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>TAS-ADA/Fire Marshal Upgrades</td>
<td>Mon 12/7/15</td>
<td>Fri 1/31/20</td>
<td></td>
<td></td>
<td>100%</td>
<td>95%</td>
</tr>
<tr>
<td>2</td>
<td>Architect Selection RFQ</td>
<td>Mon 12/7/15</td>
<td>Fri 2/12/16</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Contract Negotiations</td>
<td>Mon 2/15/16</td>
<td>Tue 4/26/16</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Design</td>
<td>Mon 4/25/16</td>
<td>Thu 8/31/17</td>
<td></td>
<td></td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Construction (Fain Fine Arts, Bolin, Hardin, Ferguson)</td>
<td>Fri 9/1/17</td>
<td>Fri 1/31/20</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Centennial Hall</td>
<td>Fri 12/18/15</td>
<td>Tue 7/23/19</td>
<td></td>
<td></td>
<td>100%</td>
<td>95%</td>
</tr>
<tr>
<td>7</td>
<td>Architect Selection RFQ</td>
<td>Fri 12/18/15</td>
<td>Mon 2/15/16</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Contract Negotiations</td>
<td>Tue 2/16/16</td>
<td>Fri 4/22/16</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Design</td>
<td>Mon 4/25/16</td>
<td>Fri 9/8/17</td>
<td></td>
<td></td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Construction</td>
<td>Wed 12/13/17</td>
<td>Tue 7/23/19</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>IT Relocation Project</td>
<td>Tue 7/18/17</td>
<td>Fri 7/31/20</td>
<td></td>
<td></td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Design</td>
<td>Tue 7/18/17</td>
<td>Mon 6/18/18</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Construction-Fiber Install</td>
<td>Tue 6/19/18</td>
<td>Mon 8/12/19</td>
<td></td>
<td></td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>Renovations to McCullough</td>
<td>Mon 5/11/20</td>
<td>Fri 7/31/20</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>Centennial Hall &amp; Quad Landscaping &amp; Parking</td>
<td>Mon 4/17/17</td>
<td>Fri 7/12/19</td>
<td></td>
<td></td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>Landscape Design, East Quad</td>
<td>Mon 4/17/17</td>
<td>Fri 3/16/18</td>
<td></td>
<td></td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>Landscape Construction, East Quad</td>
<td>Mon 3/19/18</td>
<td>Fri 3/1/19</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>J. Rogers Promenade Extension Design</td>
<td>Mon 8/14/17</td>
<td>Thu 3/29/18</td>
<td></td>
<td></td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>J. Rogers Promenade Extension Construction</td>
<td>Mon 12/17/18</td>
<td>Fri 3/1/19</td>
<td></td>
<td></td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>20</td>
<td>HS+HS Landscaping Design</td>
<td>Mon 8/14/17</td>
<td>Fri 4/20/18</td>
<td></td>
<td></td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>21</td>
<td>HS+HS Landscaping Construction</td>
<td>Mon 3/11/19</td>
<td>Fri 7/12/19</td>
<td></td>
<td></td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>22</td>
<td>Tunnel Repairs</td>
<td>Mon 6/4/18</td>
<td>Fri 12/21/18</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>23</td>
<td>Moffett Library Renovations</td>
<td>Mon 9/11/17</td>
<td>Fri 4/3/20</td>
<td></td>
<td></td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>24</td>
<td>Design</td>
<td>Mon 9/11/17</td>
<td>Mon 5/14/18</td>
<td></td>
<td></td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>25</td>
<td>Phase 1 Construction (elevator, restrooms)</td>
<td>Mon 5/14/18</td>
<td>Mon 1/28/19</td>
<td></td>
<td></td>
<td>99%</td>
<td>98%</td>
</tr>
<tr>
<td>26</td>
<td>Phase 2A Construction (third floor, half of second floor)</td>
<td>Mon 12/3/18</td>
<td>Fri 6/21/19</td>
<td></td>
<td></td>
<td>98%</td>
<td>45%</td>
</tr>
<tr>
<td>27</td>
<td>Phase 2B Construction (first floor, half of second floor)</td>
<td>Mon 6/24/19</td>
<td>Fri 4/3/20</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>28</td>
<td>Bridwell Renovations</td>
<td>Mon 10/1/18</td>
<td>Fri 5/15/20</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>29</td>
<td>Design</td>
<td>Mon 10/1/18</td>
<td>Thu 8/29/19</td>
<td></td>
<td></td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>30</td>
<td>Construction</td>
<td>Fri 8/30/19</td>
<td>Fri 5/15/20</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>31</td>
<td>Facilities Shops Complex</td>
<td>Mon 5/14/18</td>
<td>Fri 5/1/20</td>
<td></td>
<td></td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>32</td>
<td>Design</td>
<td>Mon 5/14/18</td>
<td>Mon 5/13/19</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>33</td>
<td>Construction</td>
<td>Tue 5/14/19</td>
<td>Fri 5/1/20</td>
<td></td>
<td></td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>
Construction Update Status

November 7, 2019

by

Kyle Owen
Centennial Hall:

Atrium Views

October 21, 2019
Classrooms/Labs

October 21, 2019
Centennial Hall North Parking Lot; 58 new spaces:

October 21, 2019
Bridwell Courts Parking Lot; 54 new spaces:

October 21, 2019

July 3, 2019
TAS/ADA & Fire Marshal Upgrades Project:

October 21, 2019

Hardin Interior South Ramp

January 28, 2019
Moffett Renovation, Phase 2B:

First Floor Construction, Looking East

October 21, 2019

October 23, 2018
Moffett Renovation, Phase 2B:

First Floor Construction, Looking East

October 23, 2018

October 21, 2019
Moffett Renovation, Phase 2B:

Taft Bay Window Construction, October 21, 2019
Facilities Services Shops Building:

July 9, 2018

October 21, 2019
J.S. Bridwell Renovation:

September 5, 2019

October 21, 2019
### Summary by Period and Category

<table>
<thead>
<tr>
<th></th>
<th>Critical</th>
<th>Deferred</th>
<th>Planned</th>
<th>Adaptation</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Budgeted - Current Year</strong></td>
<td>$31,600</td>
<td>$0</td>
<td>$376,500</td>
<td>$2,684,230</td>
<td>$3,092,330 (1)</td>
</tr>
<tr>
<td><strong>Expenditures - Previous Year</strong></td>
<td>$54,229</td>
<td>$3,965</td>
<td>$728,048</td>
<td>$1,387,641</td>
<td>$2,173,883 (2)</td>
</tr>
<tr>
<td><strong>Projected - Years 2 through 5</strong></td>
<td>$0</td>
<td>$0</td>
<td>$12,183,200</td>
<td>$1,301,500</td>
<td>$13,484,700 (3)</td>
</tr>
</tbody>
</table>

### Summary by Type and Category

<table>
<thead>
<tr>
<th></th>
<th>Amount</th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Architectural</strong></td>
<td>$9,100</td>
<td>$0</td>
<td>$5,416,475</td>
<td>$3,162,861</td>
<td>$8,588,436</td>
</tr>
<tr>
<td><strong>HVAC</strong></td>
<td>$40,711</td>
<td>$3,965</td>
<td>$1,175,029</td>
<td>$0</td>
<td>$1,119,705</td>
</tr>
<tr>
<td><strong>Plumbing and Electrical</strong></td>
<td>$20,018</td>
<td>$0</td>
<td>$2,275,000</td>
<td>$180,000</td>
<td>$2,455,018</td>
</tr>
<tr>
<td><strong>Safety</strong></td>
<td>$16,000</td>
<td>$0</td>
<td>$1,161,780</td>
<td>$1,002,010</td>
<td>$2,169,790</td>
</tr>
<tr>
<td><strong>Legal and Mandatory</strong></td>
<td>$0</td>
<td>$0</td>
<td>$537,000</td>
<td>$851,000</td>
<td>$1,388,000</td>
</tr>
<tr>
<td><strong>Other</strong></td>
<td>$0</td>
<td>$0</td>
<td>$2,822,464</td>
<td>$177,500</td>
<td>$2,999,964</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$85,829</td>
<td>$3,965</td>
<td>$13,287,748</td>
<td>$5,373,371</td>
<td>$18,750,913</td>
</tr>
</tbody>
</table>

### Top Five Priority Projects

<table>
<thead>
<tr>
<th>Pri</th>
<th>Name</th>
<th>Period</th>
<th>Category</th>
<th>Type</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Upgrade the oil heaters on chiller</td>
<td>Budgeted - Current Year</td>
<td>Planned Maintenance</td>
<td>HVAC</td>
<td>$3,800</td>
</tr>
<tr>
<td>2</td>
<td>Replace bearing in cooling tower</td>
<td>Budgeted - Current Year</td>
<td>Critical Deferred Maint</td>
<td>HVAC</td>
<td>$14,000</td>
</tr>
<tr>
<td>3</td>
<td>Replace worn out, leaking boiler</td>
<td>Budgeted - Current Year</td>
<td>Critical Deferred Maint</td>
<td>Plumbing and Electrical</td>
<td>$7,000</td>
</tr>
<tr>
<td>4</td>
<td>Replace 5 steam expansion joints</td>
<td>Budgeted - Current Year</td>
<td>Planned Maintenance</td>
<td>HVAC</td>
<td>$50,000</td>
</tr>
<tr>
<td>5</td>
<td>Replace ring lights around Stockton</td>
<td>Budgeted - Current Year</td>
<td>Planned Maintenance</td>
<td>Plumbing and Electrical</td>
<td>$19,000</td>
</tr>
</tbody>
</table>

(1) Includes $2.76 MM in TRB work.
(2) Includes $1.23 MM in TRB work.
(3) Includes $100k in TRB work.
<table>
<thead>
<tr>
<th>Building</th>
<th>Comments</th>
<th>Expenditure $</th>
<th>HEAF: Facilities FY19</th>
<th>Auxiliary: CSC/Redwine</th>
<th>Auxiliary: Housing</th>
<th>Info Tech</th>
<th>Other $ Sources</th>
<th>TRB Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facilities Services</td>
<td>Vehicle purchases (mower, 2 golf carts)</td>
<td>$39,198</td>
<td>$39,198</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facilities Services</td>
<td>Equipment-E&amp;G space ONLY</td>
<td>$16,745</td>
<td>$55,943</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>IT: 5 new servers purchased and installed</td>
<td>$23,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>IT: Classroom install, upgrade, and standardize</td>
<td>$100,000</td>
<td>$123,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>IT: Computer Lifecycle Replacements; campus wide faculty and staff</td>
<td>$160,000</td>
<td>$383,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>IT: IronPort C390 Upgrade: Device protects against phishing attacks</td>
<td>$15,964</td>
<td>$398,964</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>IT: New computers and upgrades for Moffett, Bolin, McCoy and Fain labs.</td>
<td>$110,000</td>
<td>$508,964</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>IT: Replaced 4 aging switches that are rolling off maintenance and</td>
<td>$22,000</td>
<td>$530,964</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>IT: Replaced the two campus wireless controllers and additional access</td>
<td>$50,000</td>
<td>$580,964</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>Replace ~450 outdated campus fire extinguishers (700 total on campus)</td>
<td>$13,780</td>
<td>$69,723</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hardin Administration</td>
<td>Building Exterior entrances not compliant</td>
<td>$160,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$160,000</td>
</tr>
<tr>
<td>Hardin Administration</td>
<td>Building Second Floor Toilets Men's HA2RR4 &amp; Women's HA2RR3 are not</td>
<td>$75,000</td>
<td>$235,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dillard College of</td>
<td>Business Admin Replaced camera DVR.</td>
<td>$4,000</td>
<td>$4,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bridwell Hall</td>
<td>Med gas compressor repair; unit has failed</td>
<td>$5,518</td>
<td>$75,241</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fain Fine Arts Center</td>
<td>Add chair lift for ADA access to second floor area (B209).</td>
<td>$30,000</td>
<td>$265,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fain Fine Arts Center</td>
<td>Added three exterior doors and stoops at FFA for egress</td>
<td>$10,000</td>
<td>$275,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fain Fine Arts Center</td>
<td>Auditorium workshop, storerooms, dressing rooms lack fire sprinkler</td>
<td>$77,580</td>
<td>$352,580</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fain Fine Arts Center</td>
<td>stage area lacks standpipe protection.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fain Fine Arts Center</td>
<td>Both stairwells discharge directly into the building interior. Make</td>
<td>$322,600</td>
<td>$675,180</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fain Fine Arts Center</td>
<td>stairwell by B120 discharge to east and install elevator.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fain Fine Arts Center</td>
<td>Corridor walls throughout covered with carpet not meeting class A or B</td>
<td>$12,000</td>
<td>$687,180</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fain Fine Arts Center</td>
<td>fire code rating. Replace with fire rated material.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fain Fine Arts Center</td>
<td>Exterior Handrails &amp; Ramps Non compliant</td>
<td>$40,500</td>
<td>$727,680</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fain Fine Arts Center</td>
<td>Facilities HEAF to cover half the cost of adding acoustical treatments</td>
<td>$50,000</td>
<td>$777,680</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fain Fine Arts Center</td>
<td>to the Music area.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>McCoy Engineering Hall</td>
<td>Toilet Room 1RR5, 1RR6 renovations for TAS compliance</td>
<td>$30,000</td>
<td>$807,680</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WF Museum and Arts at MSU</td>
<td>Install steam pressure reducing station in mech room.</td>
<td>$4,823</td>
<td>$80,064</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WF Museum and Arts at MSU</td>
<td>Repaired two failed HVAC units.</td>
<td>$10,742</td>
<td>$90,806</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bolin Hall</td>
<td>Conversion of stairwell to storage areas and IT closets on three floors.</td>
<td>$50,000</td>
<td>$857,680</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bolin Hall</td>
<td>First floor custodial rooms requires 1 hour enclosure under stair and</td>
<td>$9,300</td>
<td>$866,980</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>not open into stairwell enclosure</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### FY19 Deferred Maintenance Expenditures

<table>
<thead>
<tr>
<th>Building</th>
<th>Comments</th>
<th>Expenditure $</th>
<th>HEAF: Facilities FY19</th>
<th>Auxiliary: CSC/Redwine</th>
<th>Auxiliary: Housing</th>
<th>Info Tech</th>
<th>Other $ Sources</th>
<th>TRB Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bolin Hall</td>
<td>Loading dock stair requires TAS compliant handrails</td>
<td>$4,500</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$871,480</td>
</tr>
<tr>
<td>Bolin Hall</td>
<td>Replaced six interior doors with fire rated doors and frames.</td>
<td>$30,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$901,480</td>
</tr>
<tr>
<td>Clark Student Center</td>
<td>Installed hot taps and new MSU-supplied BTU meter.</td>
<td>$3,965</td>
<td>$3,965</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clark Student Center</td>
<td>Installed integrated A/V system in Wichita and Kiowa rooms.</td>
<td>$27,000</td>
<td>$30,965</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clark Student Center</td>
<td>Replaced 100 damaged or worn out banquet chairs</td>
<td>$13,500</td>
<td>$44,465</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clark Student Center</td>
<td>Replaced 84 obsolete fluorescent light fixtures in Comanche Suites, Kiowa, Apache, and Bookstore</td>
<td>$12,000</td>
<td>$56,465</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clark Student Center</td>
<td>Replaced camera DVR.</td>
<td>$4,000</td>
<td>$60,465</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clark Student Center</td>
<td>Replaced damaged banquet and seminar tables</td>
<td>$6,000</td>
<td>$66,465</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clark Student Center</td>
<td>Replaced damaged west entry door to Wichita room</td>
<td>$2,500</td>
<td>$68,965</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Moffett Library</td>
<td>Carpet - 2nd-3rd floors</td>
<td>$175,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$1,076,480</td>
<td></td>
</tr>
<tr>
<td>Moffett Library</td>
<td>Install HUB rooms for 2nd and 3rd floors; replace interior data wiring in entire building.</td>
<td>$150,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$1,226,480</td>
<td></td>
</tr>
<tr>
<td>Central Plant</td>
<td>Chiller #1 logic board has failed and needs replacement</td>
<td>$12,989</td>
<td>$103,795</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Central Plant</td>
<td>FY19: Replace 5 steam expansion joints in tunnel system. Existing design/style does not last very long and expensive to repair.</td>
<td>$35,406</td>
<td>$139,201</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Central Plant</td>
<td>Vibration testing of recently replaced fan for cooling tower #5.</td>
<td>$2,980</td>
<td>$142,181</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2504 Hampstead, Autism House</td>
<td>Replace kitchen floor.</td>
<td>$3,000</td>
<td></td>
<td></td>
<td>$3,000</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2518 Hampstead</td>
<td>Repaint interior rooms</td>
<td>$6,035</td>
<td></td>
<td></td>
<td>$9,035</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2514 Hampstead</td>
<td>Demo storage building. (~12’X14’)</td>
<td>$1,900</td>
<td></td>
<td></td>
<td>$10,935</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2514 Hampstead</td>
<td>Repaint interior rooms</td>
<td>$4,140</td>
<td></td>
<td></td>
<td>$15,075</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sunwatcher Village, Clubhouse</td>
<td>Replaced camera DVR.</td>
<td>$4,000</td>
<td></td>
<td></td>
<td>$19,075</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Redwine Rec and Wellness Center</td>
<td>Repair loose lightning rods</td>
<td>$95</td>
<td></td>
<td></td>
<td>$69,060</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sundance Court</td>
<td>Cast stones at east entrance tilting and need to be reset (due to building settling).</td>
<td>$16,905</td>
<td></td>
<td></td>
<td>$35,980</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sundance Court</td>
<td>Replaced camera DVR.</td>
<td>$4,000</td>
<td></td>
<td></td>
<td>$39,980</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>West Campus Annex</td>
<td>Replace flooring in room 128.</td>
<td>$6,000</td>
<td></td>
<td></td>
<td>$75,060</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>West Campus Annex</td>
<td>Replaced flooring in two rooms.</td>
<td>$20,813</td>
<td></td>
<td></td>
<td>$95,873</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bryant Edwards UPD</td>
<td>Renovate for UPD (not in bldg inventory on 9/1 so did not submit Sept 2018)</td>
<td>$102,348</td>
<td></td>
<td></td>
<td>$144,348</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTALS</strong></td>
<td></td>
<td>$2,229,826</td>
<td>$142,181</td>
<td>$95,873</td>
<td>$39,980</td>
<td>$580,964</td>
<td>$144,348</td>
<td>$1,226,480</td>
</tr>
<tr>
<td>--------------------------------</td>
<td>--------------------------------------------------------------------------</td>
<td>---------------</td>
<td>----------</td>
<td>-----------------------</td>
<td>-----------------------</td>
<td>------------------------</td>
<td>-------------------</td>
<td>-----------</td>
</tr>
<tr>
<td>Central Plant</td>
<td>Upgrade the oil heaters on chiller #2</td>
<td>$3,800</td>
<td>1</td>
<td>$196,261</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Central Plant</td>
<td>Replace bearings in cooling tower #4 and perform test and balance.</td>
<td>$14,000</td>
<td>2</td>
<td>$14,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Central Plant</td>
<td>Replace worn out, leaking boiler feed pump.</td>
<td>$7,000</td>
<td>3</td>
<td>$203,261</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Central Plant</td>
<td>Replace 5 steam expansion joints in tunnel system.</td>
<td>$50,000</td>
<td>4</td>
<td>$253,261</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>D.L. Ligon Coliseum</td>
<td>Replace the ring lights around Stockton Court area with LED (energy savings, others are obsolete and failing).</td>
<td>$19,000</td>
<td>5</td>
<td>$272,261</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>D.L. Ligon Coliseum</td>
<td>Modify scuppers/overflow drain in north courtyard. Replace flashing, rework tile, replace felt in NW and SW lower cir tile arena roof.</td>
<td>$45,000</td>
<td>6</td>
<td>$317,261</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Central Plant</td>
<td>Replace 1600 amp breaker that trips periodically.</td>
<td>$7,500</td>
<td>7</td>
<td>$324,761</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>Hire MEP consultant to develop electricity reduction options per Health &amp; Safety Code 388.005.C.</td>
<td>$25,000</td>
<td>8</td>
<td>$349,761</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hardin Administration Building</td>
<td>REPLACEMENT OF 17' OF GUTTER AND REPAIR OF WIND DAMAGE ON UPPER WEST ROOF OF AKIN</td>
<td>$3,100</td>
<td>9</td>
<td>$352,861</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Moffett Library</td>
<td>Stacks too close together for ADA compliance.</td>
<td>$50,000</td>
<td>10</td>
<td>$50,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Moffett Library</td>
<td>Upgrade door hardware throughout building for ADA compliance.</td>
<td>$100,000</td>
<td>11</td>
<td>$150,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Moffett Library</td>
<td>Stairwell handrails not ADA compliant.</td>
<td>$30,000</td>
<td>12</td>
<td>$180,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Moffett Library</td>
<td>Carpet - 1st floor remaining areas</td>
<td>$100,000</td>
<td>13</td>
<td>$280,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Moffett Library</td>
<td>Furniture needs to be updated in entire bldg.</td>
<td>$280,000</td>
<td>14</td>
<td>$560,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Moffett Library</td>
<td>Paint entire interior.</td>
<td>$75,000</td>
<td>15</td>
<td>$635,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Moffett Library</td>
<td>Replace east entrance doors/windows</td>
<td>$125,000</td>
<td>20</td>
<td>$760,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bridwell Hall</td>
<td>Renovations for College of Ed, Facilities Services, IELI, International Services, Honors Program.</td>
<td>$1,662,700</td>
<td>21</td>
<td>$2,422,700</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hardin Administration Building</td>
<td>Costume workshop, storerooms, dressing rooms and second floor exit corridors lack fire protection. Auditorium stage area lacks standpipe protection.</td>
<td>$34,000</td>
<td>22</td>
<td>$2,456,700</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hardin Administration Building</td>
<td>Auditorium stairs to stage are not compliant rise / run &amp; handrails</td>
<td>$108,000</td>
<td>23</td>
<td>$2,564,700</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hardin Administration Building</td>
<td>Auditorium stage proscenium lacks opening protection</td>
<td>$5,350</td>
<td>24</td>
<td>$2,570,050</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hardin Administration Building</td>
<td>Akin main entrance doors lack required panic hardware.</td>
<td>$51,000</td>
<td>25</td>
<td>$2,621,050</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hardin Administration Building</td>
<td>Auditorium lobby women's toilet HA1IRR5 not accessible; upgrade men's toilet HA1IRR6.</td>
<td>$25,000</td>
<td>26</td>
<td>$2,646,050</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hardin Administration Building</td>
<td>Auditorium doors lack egress width for accessibility only 32” wide</td>
<td>$15,000</td>
<td>30</td>
<td>$2,661,050</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hardin Administration Building</td>
<td>Auditorium aisles are not compliant, lack handrails</td>
<td>$36,000</td>
<td>31</td>
<td>$2,697,050</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hardin Administration Building</td>
<td>Auditorium seating lacks emergency lighting</td>
<td>$10,500</td>
<td>32</td>
<td>$2,707,550</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ferguson Hall</td>
<td>Both stairwells discharge directly into the building interior.</td>
<td>$39,680</td>
<td>33</td>
<td>$53,680</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ferguson Hall</td>
<td>Restrooms on 2nd floor are TAS/ADA compliant. 3rd floor restrooms are NOT ADA compliant (1 men's, 1 women's).</td>
<td>$17,000</td>
<td>34</td>
<td>$70,680</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ferguson Hall</td>
<td>Dead end corridor by 105 exceeds max 50' limit allowable distance.</td>
<td>$5,000</td>
<td>35</td>
<td>$75,680</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clark Student Center</td>
<td>Replace security camera server and 15 cameras.</td>
<td>$40,000</td>
<td>36</td>
<td>$40,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clark Student Center</td>
<td>Replace the carpet in the Rec Room; it is worn out around the pool tables (2200 SF).</td>
<td>$25,000</td>
<td>37</td>
<td>$65,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bolin Hall</td>
<td>Exiting stairs require TAS compliant handrails</td>
<td>$50,000</td>
<td>39</td>
<td>$2,757,550</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bolin Hall</td>
<td>Roofing repairs (west end, main roof, near fan; east end of penthouse)</td>
<td>$1,500</td>
<td>40</td>
<td>$354,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Central Plant</td>
<td>Repair concrete deck on two older (eastern) cooling towers. Concrete spalling off and falling into tower. Repair top expansion joint.</td>
<td>$25,000</td>
<td>41</td>
<td>$379,361</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>D.L. Ligon Coliseum</td>
<td>Internal inspection of fire sprinkler system, pressure test system, replace 6 gauges. NFAA 25 requirement.</td>
<td>$3,600</td>
<td>42</td>
<td>$382,961</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dillard College of Business Admin</td>
<td>Internal inspection of fire sprinkler system, pressure test system, replace 2 gauges. NFAA 25 requirement.</td>
<td>$1,800</td>
<td>43</td>
<td>$384,761</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fain Fine Arts Center</td>
<td>Internal inspection of fire sprinkler system, pressure test system, replace 2 gauges. NFAA 25 requirement.</td>
<td>$1,800</td>
<td>44</td>
<td>$386,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Central Plant</td>
<td>Cooling tower basins: recoat/re-epoxy all.</td>
<td>$35,000</td>
<td>45</td>
<td>$421,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>Replacement of old motor starters used for air handling units, fans and circulating pumps in several buildings.</td>
<td>$10,000</td>
<td>50</td>
<td>$431,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>-------------------------------</td>
<td>---------------------------------------------------------------------------</td>
<td>---------------</td>
<td>----------</td>
<td>-----------------------</td>
<td>-----------------------</td>
<td>------------------------</td>
<td>-------------------</td>
<td>---------------------</td>
</tr>
<tr>
<td>Fain Fine Arts Center</td>
<td>Investigate Mass Comrn HVAC system operation, modify system to improve its operation.</td>
<td>$150,000</td>
<td>51</td>
<td>$581,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>Install an emergency call box light pole and wiring at the southeast end of Mustangs Walk at Nocona.</td>
<td>$9,000</td>
<td>52</td>
<td>$590,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Paint Shop</td>
<td>Replace steam condensate and supply line from McCoy tunnel to Paint Shop. Failed Jan 2019.</td>
<td>$40,000</td>
<td>53</td>
<td>$630,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>Miscellaneous repairs to sidewalks.</td>
<td>$25,000</td>
<td>54</td>
<td>$655,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>McCullough Hall</td>
<td>Renovations for IT to relocate into building.</td>
<td>$100,000</td>
<td>55</td>
<td></td>
<td>$2,857,550</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Killingsworth Hall</td>
<td>Replace security camera server and 10 cameras.</td>
<td>$30,000</td>
<td>56</td>
<td>$30,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>Replace fluorescent lighting in campus buildings.</td>
<td>$75,000</td>
<td>57</td>
<td>$730,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>Replace BTU meters on a yearly basis to more reliable meters.</td>
<td>$8,000</td>
<td>61</td>
<td>$738,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Killingsworth Hall</td>
<td>Replace hallway carpet on 1st and 2nd floor (~2500 SF).</td>
<td>$10,000</td>
<td>63</td>
<td>$40,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>D.L. Ligon Coliseum</td>
<td>Replace the 1960s desk/chairs furniture in classroom 111 (~31). Others?</td>
<td>$18,000</td>
<td>64</td>
<td>$756,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Killingsworth Hall</td>
<td>Paint 1st &amp; 2nd lounge areas and all bathrooms.</td>
<td>$5,000</td>
<td>65</td>
<td>$45,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>Update furniture in buildings every year with ~$30k</td>
<td>$30,000</td>
<td>70</td>
<td>$786,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>McCullough-Trigg Hall</td>
<td>Common Area Furniture Replacement</td>
<td>$30,000</td>
<td>71</td>
<td>$75,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bridwell Hall</td>
<td>Electrical rooms E1.1, E1.2, and E1.3 are too small, not safe to be working in them due to limited space. Increase size of each.</td>
<td>$30,000</td>
<td>72</td>
<td>$816,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sunwatcher Village, 4</td>
<td>Recarpet remaining apartments in this building (~50%).</td>
<td>$15,000</td>
<td>73</td>
<td>$90,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clark Student Center</td>
<td>Replace carpet in lounge areas: atrium, Kickapoo, Commuter, Arapaho.</td>
<td>$11,800</td>
<td>74</td>
<td>$76,800</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hardin Administration Building</td>
<td>Voice &amp; Data Rewiring of Hardin South.</td>
<td>$98,000</td>
<td>75</td>
<td>$98,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clark Student Center</td>
<td>Replace rusting bathroom stall hardware.</td>
<td>$10,000</td>
<td>76</td>
<td>$86,800</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fain Fine Arts Center</td>
<td>Remove the old/worn out water fountain outside of C108. Will require carpentry work to fill in the old recessed fountain's location. Replace with TRB funds!!!</td>
<td>$5,000</td>
<td>77</td>
<td>$821,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bolin Hall</td>
<td>Ramp on northwest corner of building is not ADA compliant (rails?).</td>
<td>$30,000</td>
<td>78</td>
<td>$851,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>Demo southern concrete from Band Hall parking lot; replace with grass.</td>
<td>$10,000</td>
<td>79</td>
<td>$861,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Regional Simulation Center</td>
<td>Repair roof in several locations (ref DPercy 6/21/18 4:59 PM email)</td>
<td>$10,000</td>
<td>80</td>
<td>$871,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prothro-Yeager-Bearwood-Odnomoe</td>
<td>Replace worn out furniture and carpet in PYBO 2nd floor lounge</td>
<td>$15,000</td>
<td>85</td>
<td>$886,561</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Daniel Building</td>
<td>Internal inspection of fire sprinkler system, pressure test system, replace 2 gauges. NFPA 25 requirement.</td>
<td>$1,800</td>
<td>87</td>
<td>$888,361</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Killingsworth Hall</td>
<td>Internal inspection of fire sprinkler system, pressure test system, replace 7 gauges. NFPA 25 requirement.</td>
<td>$4,300</td>
<td>88</td>
<td>$94,300</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pierce Hall</td>
<td>Internal inspection of fire sprinkler system, pressure test system, replace 4 gauges. NFPA 25 requirement.</td>
<td>$3,600</td>
<td>89</td>
<td>$97,900</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sundance Court</td>
<td>Internal inspection of fire sprinkler system, pressure test system, replace 8 gauges. NFPA 25 requirement.</td>
<td>$3,600</td>
<td>90</td>
<td>$101,500</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sunwatcher Village, 2</td>
<td>Rebuild Ammes 2000B backflow preventer</td>
<td>$600</td>
<td>91</td>
<td>$102,100</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sunwatcher Village, 6</td>
<td>Replace inspector's test valve</td>
<td>$300</td>
<td>92</td>
<td>$102,400</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sunwatcher Village, 7</td>
<td>Rebuild Ammes 2000B backflow preventer</td>
<td>$600</td>
<td>93</td>
<td>$103,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bolin Hall</td>
<td>Resurface (i.e., grind) the restroom floors on levels 2 and 3. They are badly stained and need to be refinished.</td>
<td>$30,000</td>
<td>94</td>
<td>$918,361</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clark Student Center</td>
<td>Need to caulk around ALL windows at CSC. Existing caulk is dried out and missing in many locations.</td>
<td>$15,000</td>
<td>95</td>
<td>$101,800</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clark Student Center</td>
<td>Wiring for network</td>
<td>$64,000</td>
<td>96</td>
<td>$165,800</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>Replace sewer line from Council to northwest end of CSC (~500 LF). Constant maintenance issue.</td>
<td>$75,000</td>
<td>97</td>
<td>$993,361</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bridwell Hall</td>
<td>Replace worn out furniture in Honors area in Moffett (if not done with Moffett Renovation).</td>
<td>$5,000</td>
<td>98</td>
<td>$998,361</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sunwatcher Village, 2</td>
<td>Install emergency egress lights for the building per fire marshal requirement</td>
<td>$5,000</td>
<td>99</td>
<td>$108,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sunwatcher Village, 3</td>
<td>Install emergency egress lights for the building per fire marshal requirement</td>
<td>$5,000</td>
<td>100</td>
<td>$113,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sunwatcher Village, 4</td>
<td>Install emergency egress lights for the building per fire marshal requirement</td>
<td>$5,000</td>
<td>101</td>
<td>$118,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sunwatcher Village, 5</td>
<td>Install emergency egress lights for the building per fire marshal requirement</td>
<td>$5,000</td>
<td>102</td>
<td>$123,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sunwatcher Village, 6</td>
<td>Install emergency egress lights for the building per fire marshal requirement</td>
<td>$5,000</td>
<td>103</td>
<td>$128,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sunwatcher Village, 7</td>
<td>Install emergency egress lights for the building per fire marshal requirement</td>
<td>$5,000</td>
<td>104</td>
<td>$133,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

"218 Additional rows hidden for brevity"

| TOTALS                      | $16,599,491 | $75,680 | $11,311,261 | $1,156,700 | $588,300 | $610,000 | $2,857,550 |           |           |
Audit, Compliance, and Management Matters

Compliance Update
20-29. The Board Book includes an update on compliance activities for information only.

Internal Audit Update
20-30. The Board Book includes an update on internal audit activities for information only.

Internal Audit Annual Report
20-31. The Texas Internal Auditing Act, Government Code, Section 2102, requires the preparation of an internal audit annual report. The report is included in the Board Book and will be presented for the Board’s approval.

Public Funds Investment Act Audit Report 20-01
20-32. The Public Funds Investment Act Audit Report is included in the Board Book and will be presented for the Board’s acceptance.

Office of Internal Audits Charter
20-33. The Charter is a formal document that defines the internal audit activity’s purpose, authority, and responsibility. The document was revised for title and department name changes and clarification of duties and responsibilities. The Charter is included in the Board Book and will be presented for the Board’s approval.

Modification of Midwestern State University Organization Chart
20-34. A new organization chart is included in the Board Book to reflect changes made related to international efforts at Midwestern State University. The offices of International Education, International Services, and Intensive English Language Institute have been combined into one functional unit to comprise the Global Education Office (GEO). The GEO will lead student international efforts at MSU, including study abroad, recruiting, student immigration, student support, and language training. In addition to realizing operational efficiencies, the combined operation will allow MSU to provide additional global opportunities to students. This item is presented as information only.

Statement of Expectations of the Members of the Board of Regents
20-35. Section 2.04.9 of The Bylaws of the Midwestern State University Board of Regents requires that the Board review and approve a statement of Board member expectations at least every two years. A draft of the Statement of Expectations of the Members of the Board of Regents was presented for the Board’s review in August and has not been changed since that time. The document is included in the Board Book and will be recommended for approval.

Rules and Regulations of Midwestern State University
20-36. The MSU Office of General Counsel has prepared the attached document working with the President’s Cabinet and discussion and review by the Faculty Senate and the Administrative Council. This document outlines the rule- and regulation-making within the University to begin the process of organizing the documents that are considered MSU rules and regulations.
As part of the process to provide greater understanding and efficiency in dealing with the rules and regulations governing Midwestern State University, and since the last comprehensive review of the manual occurred in November 1989, a thorough review of the *Policies and Procedures Manual* was accomplished. As a result of this review, the administration intends to modify the format of the manual and change policy numbers with the sections more effectively coordinated according to subject matter. These changes should facilitate the implementation of new policy management software. Due to the modifications made, the revised format presented in the Board Book will be recommended for Board approval.

**Proposed New and Revised Policies – MSU Policies and Procedures Manual**

20-37. The following new and revised MSU policies will be recommended for approval, as summarized below.

A. **Policy UPP 2-510 (formerly 3.146) Protection of Human Subjects in Research** – The proposed revisions bring this policy into alignment with federal regulations and MSU procedures related to the protection of human subjects in research. The revisions also benchmark MSU policy to federal regulations, which will allow future procedural adjustments necessitated by federal regulations without requiring policy manual revisions.

B. **NEW Policy UPP 2-515 Protection of Animals in Research** – This policy provides for the protection of vertebrate animals in research as required under the Animal Welfare Act and the Health Record Extension Act of 1985. The Academic Council approved an Institutional Animal Care and Use Committee (IACUC) in May 2013, but the policy was never codified in the *MSU Policies and Procedures Manual* until now. The policy defines the structure of the IACUC, the guidelines for animal care, training requirements, and the process for research/scholarly activity proposal review, approval, and continuation.

C. **Policy 3.317 (Academic Emeritus Status – Faculty and Administration) and Policy 3.318 (Staff Emeritus Status)** – Wording changes are recommended to each of these policies to reflect the change being made to emeritus e-mail addresses for retirees who are granted emeritus status.

D. **NEW Policy UPP 3-420 Reporting Abuse and Neglect of Child, Elder, or Disabled Person** – This policy is meant to comply with legislative revisions to the Texas Education Code and defines the responsibility for reporting suspected abuse or neglect of children or an elderly or disabled person and comply with state law and applicable training requirements.

E. **NEW Policy UPP 3-470 Chemical Safety** – This policy is designed to maintain laboratory exposures to hazardous chemicals as low as reasonably achievable as required by the Occupational Safety and Health Administration (OSHA), the Environmental Protection Agency (EPA), as well as the Texas Administrative Code and the City of Wichita Falls. MSU created a Chemical Hygiene Plan (CHP) in 2013
to specify laboratory practices and Standard Operating Procedures (SOPs), but the policy was never codified in the *MSU Policies and Procedures Manual* until now. The policy defines the chemical safety responsibility of the administration, faculty, and staff, requires review of proposals to use particularly hazardous substances, and mandates annual training of any person working with hazardous chemicals.
Compliance Activities Update

In accordance with the requirements set forth in Policy 2.26(C)3(b), Institutional Compliance and Ethics Program, the following is an update regarding the content and operation of the University’s compliance and ethics program.

- The Environmental Health, Safety, and Risk Management Committee (EHSRM) met on September 9 to discuss the resolution and scope of the current State Office of Risk Management’s (SORM) recommendations. Working with Leigh Kidwell, Chief Audit Executive, we have projected implementation dates of one year to develop localized manuals/plans and two years to organize a comprehensive risk management program appropriate for the size of MSU. The next committee meeting is scheduled for December 9, 2019.

- The Accident Review Board (ARB) met on September 9 and reviewed five employee injuries that occurred during the 3rd and 4th quarters of fiscal year 2019. The next meeting is scheduled for December 9, 2019.

- The Clery Compliance Officer attended the 6th Annual National Conference for the National Association of Clery Compliance Officers and Professionals (NACCOP) during July 2019. Training sessions covered crime classification, constructing a Clery Compliant Annual Security Report, developing administrative capability, legislative updates, writing of Timely Warning Notices and analyzing ASR policy statements, and training of Campus Security Authorities. A question and answer session with James Moore, the Senior Advisor for Clery Act Compliance and Campus Safety Operations at the United States Department of Education was also attended.

- Compliance and Ethics Coordinating Committee members performed annual reviews of their compliance calendars that outline the laws, regulations, and policies for their respective areas and aid in tracking the myriad reporting requirements.

- One tip was received between July and September through the EthicsPoint anonymous hotline. It is currently being investigated. One of the two tips received in February was unsubstantiated and closed, while the second is still ongoing. Two tips received in May had the appropriate corrective actions taken and were closed in September. Another tip received in June is currently being investigated. The investigation of a tip from February, one from June, and another from July are still ongoing. Of the outstanding investigations, two are personnel matters and one is operational.

- The University implemented new software, Maxient, for use across campus. This software will assist in managing behavior records for student conduct cases, Title IX complaints, referrals for students of concern, and Clery reporting.
- The Title IX office worked with our newly developed Peer Educators and put on "Consent Day" on September 4. During the program, campus community members interacted with the Peer Educators and the VIPs (Violence Intervention and Prevention), talking with them about bystander intervention, consent, and a commitment to consensual sexual interactions here on campus. Students and community members received shirts with the message: "Consent is Sexy (sexy is crossed out) Mandatory."

- On September 17 and 24, the Title IX Violence Intervention and Prevention Members held Bystander Intervention Training in the Legacy Multipurpose Room. They presented to students and community members about the importance of being a proactive bystander, what that behavior looks like, and what to do if someone needs help.

- One Hundred seventy-six (176) contracts were processed through the University’s Contract Management System in the fourth quarter of fiscal year 2019 (June 1, 2019 – August 31, 2019). As of August 31, 2019, a total of 3,921 contracts were included in the repository, with 1,193 being active.
Internal Audit Update

I am pleased to provide an update on this quarter’s Office of Internal Audits activities.

- The Internal Audit Annual Report for Fiscal Year 2019 is complete and submitted for approval. This report lists the services provided and other activities performed by the Office of Internal Audits and fulfills the Texas Internal Auditing Act requirements set out in Texas Government Code, Section 2102.009.

- The Public Funds Investment Act Audit #20-01 is complete. The audit objective was to review the University’s compliance with the Public Funds Investment Act, Texas Government Code, Chapter 2256, review management’s controls on investments, and adherence with University policies. Based on our audit procedures, we found the University is generally in compliance with the Public Funds Investment Act and with University policies.

- Implementation tracking of audit recommendations from:
  2. FY 2017 – Title IX and the Clery Act Compliance Assessments, and Procurement Card Assessment.
  3. FY 2018 – Contract Management Audit, and Website Accessibility Audit.
  4. FY 2019 – Minors on Campus Audit, and Benefits Proportionality by Fund Audit.

- In-progress projects from the Fiscal Year 2020 Internal Audit Plan:
  1. Five projects from Fiscal Year 2019 were in progress at 8/31/19, which were carried over to Fiscal Year 2020; Business Continuity Plan, International Services Audit, Gift Development Audit, Post Construction Contract Audit, and Audit Assistance to the State Auditor’s Office Financial Processes and Controls Audit.
  2. No work was performed during the past year on two projects from the Fiscal Year 2019 Audit Plan. Both projects, Electronic Payroll Timekeeping System and Safety & Security, were carried forward to Fiscal Year 2020.
  3. Provided ethics and compliance advisory services to various University departments.

- Internal audit focus for the next quarter:
  1. Coordinate and assist an independent CPA firm with the review of the University’s Fiscal Year 2019 financial statements.
  2. Continue work on in progress Fiscal Year 2019 projects.

Respectfully submitted,

Leigh Kidwell, CPA, CIA, CGMA
Chief Audit Executive
October 10, 2019
October 10, 2019

Dr. Suzanne Shipley, President
Midwestern State University
Wichita Falls, Texas

Dr. Shipley,

I am pleased to submit the internal audit annual report for the fiscal year ended August 31, 2019. This report itemizes the services provided and other activities performed by the Office of Internal Audits and fulfills the Texas Internal Auditing Act (the Act) requirements set out in Texas Government Code, Section 2102.009.

Included in this report are the Fiscal Year 2019 audit plan, explanations for any deviations from the plan, audits completed during the year and those in progress at year end, a list of all external audit services procured, the Fiscal Year 2020 audit plan, and other required disclosures. I believe the work of the Office of Internal Audits has contributed to the efficient and effective operations of Midwestern State University by making positive contributions to risk management efforts, control systems, and governance processes. During the year ended August 31, 2019, we issued twelve reports related to various engagements, and the results of our work have been communicated to the Board of Regents through the Audit, Compliance and Management Committee and to University Administration.

The annual report must be submitted by November 1 to the State Auditor’s Office, the Governor’s Budget and Policy Division, and the Legislative Budget Board. Typically, no reports are submitted to oversight agencies prior to approval by the institution’s governing board. However, a draft version of this report will be accepted by the oversight agencies when the institution’s governing board is scheduled to meet soon after the November 1 deadline. To ensure compliance with the Act, I will submit the draft report prior to the deadline and submit the final report following approval by the Board of Regents at the November 7, 2019 meeting.

I want to thank you, the Board of Regents, University management, faculty and staff for the support provided in the performance of my responsibilities and formally request this report be approved.

Respectfully,

Leigh Kidwell

Leigh Kidwell, CPA, CIA, CGMA
Chief Audit Executive

Report Distribution:

Audit, Compliance and Management Committee

State of Texas Agencies:
- Governor’s Budget and Policy Division
- Legislative Budget Board
- State Auditor’s Office
TABLE OF CONTENTS

I. Executive Summary.................................................................1
II. Compliance with Texas Government Code, Section 2102.015............1
III. Internal Audit Plan for Fiscal Year 2019 and Explanation of Changes ...2
IV. Fiscal Year 2019 Completed Projects........................................4
V. Consulting Services and Non-audit Services................................9
VI. External Quality Assurance Review........................................10
VII. Internal Quality Assessment................................................10
VIII. Internal Audit Plan for Fiscal Year 2020.................................12
IX. External Audit Services..........................................................16
X. Reporting Suspected Fraud and Abuse.......................................16
I. Executive Summary

The purpose of the internal audit annual report is to provide information on the assurance services, consulting services, and other activities of the internal audit function. Additionally, the annual report assists oversight agencies in their planning and coordination efforts. It is submitted in compliance with the Texas Internal Auditing Act (Texas Government Code, Section 2102.009), the Office of Internal Audits Charter, and the rules and regulations of the Board of Regents of Midwestern State University.

The Office of Internal Audits mission is to enhance and protect the University’s value by providing risk-based and objective assurance, advice and insight. A systematic, disciplined approach is used to evaluate risk management, internal controls, operational and governance processes. The primary objective of the internal audit function is to assist the Board of Regents, the President, and University management in effectively discharging their responsibilities.

Fiscal Year 2019 was a productive year. Twelve projects were completed, five projects were in progress at August 31, and two projects were carried forward to Fiscal Year 2020. The office was staffed for the entire year with a full time Chief Audit Executive and a full time Auditor.

In accordance with Texas Government Code (TGC), Sections 2102.009, internal audit annual reports must be submitted by November 1 to the State Auditor’s Office, the Governor’s Budget and Policy Division, and the Legislative Budget Board. A draft version of the report will be submitted to these oversight agencies to meet the November 1 deadline. The final report will be submitted following approval by the Midwestern State University Board of Regents at their November 7, 2019 meeting.

II. Compliance with Texas Government Code, Section 2102.015

Texas Government Code, Section 2102.015, requires higher education institutions to post certain information on their internet websites. It also requires institutions to update the website postings with detailed summaries of weaknesses, deficiencies, wrongdoings, or other concerns, if any, raised by the audit plan or annual report, and summaries of the actions taken by the institution to address those concerns. The internal audit annual report and the audit plan should be posted on the institution’s website within 30 days, after approval by the institution’s governing board.
In order to comply with Texas Government Code, Section 2102, the University’s Fiscal Year 2019 Internal Audit Annual Report and the Fiscal Year 2020 Audit Plan will be posted within 30 days after Board of Regents’ approval, on msutexas.edu/regents/board-minutes and on the Office of Internal Audits web page, msutexas.edu/internal-audits/reports. The University retains the right to not post information contained in the audit plan or internal audit annual report if the information is exempt from public disclosure under Texas Government Code, Section 552.

III. Internal Audit Plan for Fiscal Year 2019 and Explanation of Changes

Available time for fiscal year 2019’s projects after consideration of University holidays, vacation, sick leave and wellness release was 3,676 hours. Audit resources were used to perform the required and risk-based audits, special projects, investigations, meetings, committee service, and audit department activities and administration.

Listed below is the Fiscal Year 2019 Audit Plan, which was approved by the University’s Board of Regents on August 2, 2018.

<table>
<thead>
<tr>
<th>Project</th>
<th>Description</th>
<th>Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Financial, Compliance, Operational, Efficiency &amp; Effectiveness Audits</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Audit Assistance to Oversight Agencies</td>
<td>Provide audit assistance to state and federal oversight agencies such as Texas State Auditor’s Office, Texas Higher Education Coordinating Board, Texas State Comptroller’s Office and grant agencies.</td>
<td>80</td>
</tr>
<tr>
<td>Benefits Proportional By Fund</td>
<td>Verify compliance with requirements to pay benefits in proportion to the sources of funds from which the corresponding salaries and wages were paid in accordance with applicable statutes, General Appropriations Act requirements, and related University policies and procedures.</td>
<td>120</td>
</tr>
<tr>
<td>Donor Management</td>
<td>Review and test procedures and controls over the acceptance, recording and use of gifts received by the University.</td>
<td>240</td>
</tr>
<tr>
<td>Electronic Payroll Timekeeping System</td>
<td>Verify that controls exist to ensure electronic timekeeping transactions and related activities are appropriate and in compliance with laws, policies and regulations.</td>
<td>240</td>
</tr>
<tr>
<td>International Services</td>
<td>Verify adequacy of controls, and compliance with applicable laws, policies and regulations.</td>
<td>240</td>
</tr>
<tr>
<td>Minors on Campus</td>
<td>Determine whether the University has developed and implemented the necessary policies and procedures to ensure the safety and well-being of minors on campus.</td>
<td>240</td>
</tr>
<tr>
<td>Safety and Security</td>
<td>Verify compliance with safety and security requirements of Texas Education Code, Section 51.217.</td>
<td>120</td>
</tr>
<tr>
<td>Disaster Recovery Plan &amp; Business Continuity Plan (Outsourced)</td>
<td>Provide assistance to determine if the University has a business continuity plan and to review the IT department’s plan to timely resume system resources should a disaster occur in compliance with Texas Administrative Code 202.</td>
<td>120</td>
</tr>
<tr>
<td>Project</td>
<td>Description</td>
<td>Hours</td>
</tr>
<tr>
<td>----------------------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
<td>-------</td>
</tr>
<tr>
<td>Departmental</td>
<td>Review for compliance with various regulations and/or for efficiency and effectiveness.</td>
<td>64</td>
</tr>
<tr>
<td>Audits Carried Forward</td>
<td>Prior fiscal year audits not complete at 8/31 and carried forward into current year.</td>
<td>248</td>
</tr>
<tr>
<td><strong>Follow-up Audits</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Implementation of Prior Audit Recommendations</td>
<td>Obtain representations from management and verification if necessary, regarding status of implementation of prior audit recommendations.</td>
<td>168</td>
</tr>
<tr>
<td><strong>Special Projects</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hotline, Fraud, or Ethics Investigations</td>
<td>Facilitate University anonymous reporting system and investigations.</td>
<td>40</td>
</tr>
<tr>
<td>Special Projects</td>
<td>Based on requests from Board of Regents, Administration or others.</td>
<td>160</td>
</tr>
<tr>
<td>Quality Assurance</td>
<td>Provide assistance with external assessment of another Texas university’s compliance with auditing standards.</td>
<td>80</td>
</tr>
<tr>
<td><strong>Meetings and Committee Service</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ethics and Compliance Committee</td>
<td>Serve as advisory member of the committee and all sub-committees.</td>
<td>220</td>
</tr>
<tr>
<td>Administrative Meetings</td>
<td>Attend administrative meetings as requested.</td>
<td>240</td>
</tr>
<tr>
<td>Other University Meetings or Events</td>
<td>Attend other meetings or events as requested.</td>
<td>48</td>
</tr>
<tr>
<td>Board of Regents Meetings</td>
<td>Preparation and attendance of meetings or events.</td>
<td>120</td>
</tr>
<tr>
<td><strong>Audit Department Activities and Administration</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Annual Audit Plan and Report</td>
<td>Prepare annual audit plan and report.</td>
<td>80</td>
</tr>
<tr>
<td>Audit Manual and Webpage Revisions, and Records Management</td>
<td>Update audit manual and webpage, and manage records maintenance.</td>
<td>80</td>
</tr>
<tr>
<td>Annual Risk Assessment</td>
<td>Facilitate annual University risk assessment.</td>
<td>40</td>
</tr>
<tr>
<td>Professional Development and Travel</td>
<td>Professional development, maintain certifications, continuing education and related travel.</td>
<td>160</td>
</tr>
<tr>
<td>Staff Meetings</td>
<td>Intra office communications and planning.</td>
<td>48</td>
</tr>
<tr>
<td>General and Administrative Tasks</td>
<td>Office administrative duties (planning, purchasing, recordkeeping scheduling, reporting, etc.).</td>
<td>480</td>
</tr>
<tr>
<td><strong>Total Allocated Hours</strong></td>
<td></td>
<td>3,676</td>
</tr>
</tbody>
</table>

**Available Hours for All Staff** | 4,160

Less estimated hours for:
- Holidays (208)
- Vacation & Birthday Leave (180)
- Sick Leave (80)
- Wellness Release (16)

**Net Available Hours** | 3,676
IV. Fiscal Year 2019 Completed Projects

Twelve planned projects were completed during the fiscal year, five planned projects remain in-progress at August 31, 2019, and two planned projects were carried forward to Fiscal Year 2020. In addition to the planned projects, the Office of Internal Audits began nine special projects or investigations during the year because of changing risks, reports on the EthicsPoint anonymous hotline or directly to this office, or other factors. Seven special projects or investigations were completed and two remain ongoing at August 31, 2019.

Listed below are the completed projects for Fiscal Year 2019.

<table>
<thead>
<tr>
<th>Report Number</th>
<th>Report Date</th>
<th>Report Title</th>
<th>High-Level Audit Objective</th>
</tr>
</thead>
<tbody>
<tr>
<td>18-c</td>
<td>03/28/19</td>
<td>Website Accessibility Audit</td>
<td>Outsourced audit to assess website content and functionality and identify any areas that are inaccessible to persons with disabilities.</td>
</tr>
<tr>
<td>18-05</td>
<td>02/28/19</td>
<td>Construction Contract Compliance Audit</td>
<td>Outsourced audit to determine whether billings and payments are in accordance with the contract to build the Gunn College of Health Sciences and Human Services Building.</td>
</tr>
<tr>
<td>18-06</td>
<td>09/27/18</td>
<td>Contract Management Audit</td>
<td>Review processes for approving and monitoring contracts, and to determine compliance with University policies and Texas Education Code, Section 51.9337(h).</td>
</tr>
<tr>
<td>19-01</td>
<td>01/17/19</td>
<td>Minors on Campus</td>
<td>Determine if the University had developed and implemented the necessary policies and procedures to ensure the safety of minors on campus and if those policies were in compliance with state statutes.</td>
</tr>
<tr>
<td>19-02</td>
<td>02/28/19</td>
<td>Student Financial Assistance Cluster Audit</td>
<td>Outsourced audit to assess the University’s compliance with its responsibilities under Title IV of the Higher Education Act of 1965.</td>
</tr>
<tr>
<td>19-05</td>
<td>02/28/19</td>
<td>Benefits Proportional by Fund</td>
<td>Ensure that proportional benefits by fund were accurately calculated and applied according to established guidelines.</td>
</tr>
<tr>
<td>19-A</td>
<td>03/08/19</td>
<td>Quality Assurance Review</td>
<td>Conduct an independent validation of the assertions and conclusions made in the QAR Self-Assessment Report for Texas Woman’s University.</td>
</tr>
<tr>
<td>19-C</td>
<td>10/24/18</td>
<td>WEAVE Outcomes Report</td>
<td>Prepare the Office of Internal Audits assessment report for University’s Institutional Effectiveness Program.</td>
</tr>
<tr>
<td>19-D</td>
<td>06/30/19</td>
<td>Policy Software Project</td>
<td>Provide guidance to committee charged with selection of policy management software for the University.</td>
</tr>
<tr>
<td>19-E</td>
<td>06/13/19</td>
<td>Risk Assessment</td>
<td>Preparation of the risk assessment to align internal audit resources, and determine priorities of the internal audit activity for the next fiscal year.</td>
</tr>
</tbody>
</table>
The General Appropriations Act (86th Legislature) Rider 8, requires institutions of higher education to conduct an internal audit of benefits proportional by fund. To comply with this requirement, the Office of Internal Audits included a Benefits Proportional by Fund Audit in the Fiscal Year 2019 Audit Plan. Audit Report #19-05 was issued on February 28, 2019, with a copy submitted to the appropriate oversight agencies.

Texas Education Code, Section 51.9337(h), as added by Senate Bill 20 (84th Legislature), requires higher education institutions to annually assess whether the institution has adopted the rules and policies required by this section and submit a report of findings to the state auditor. To comply with this requirement during Fiscal Year 2019, the Office of Internal Audits continually monitored the implementation of the audit recommendations reported in Audit 18-06, which was issued on September 27, 2018.

We also performed follow-up work during the year to monitor whether management’s plans of action have been effectively implemented. Status reports of outstanding audit findings and recommendations were issued quarterly to management and annually to the Audit, Compliance, and Management Committee.

Listed below are the Fiscal Year 2019 projects in progress at year-end.

<table>
<thead>
<tr>
<th>Report Number</th>
<th>Report Title</th>
<th>Report Status</th>
<th>High-Level Audit Objective</th>
</tr>
</thead>
<tbody>
<tr>
<td>19-03</td>
<td>Business Continuity Plan</td>
<td>In progress / Ongoing</td>
<td>Outsourced project to create a business continuity plan consistent with Texas Administrative Code, Section 202 requirements.</td>
</tr>
<tr>
<td>19-04</td>
<td>International Services</td>
<td>In progress / Ongoing</td>
<td>Determine if the University is in compliance with regulations, laws, and policies, and to determine if sound financial controls have been established.</td>
</tr>
<tr>
<td>19-06</td>
<td>Gift Development</td>
<td>In progress / Ongoing</td>
<td>Determine if the University is in compliance with policies and procedures governing the acceptance of gifts.</td>
</tr>
<tr>
<td>19-08</td>
<td>Post Construction Contract Audit</td>
<td>In progress / Ongoing</td>
<td>Outsourced closeout audit of all costs incurred prior to the final payment for the Gunn College of Health Sciences and Human Services Building.</td>
</tr>
<tr>
<td>19-b</td>
<td>Financial Processes and Controls</td>
<td>In progress/ Ongoing</td>
<td>Provide assistance to State Auditor’s Office for their Audit of Financial Processes at Selected Higher Education Institutions.</td>
</tr>
</tbody>
</table>
Listed below are the two planned projects, which were carried forward to Fiscal Year 2020.

<table>
<thead>
<tr>
<th>Report Number</th>
<th>Report Title</th>
<th>Report Status</th>
<th>High-Level Audit Objective</th>
</tr>
</thead>
<tbody>
<tr>
<td>19-07</td>
<td>Electronic Payroll Timekeeping System</td>
<td>Carried forward to FY 2020</td>
<td>Verify that controls exist to ensure electronic timekeeping transactions and related activities are appropriate and in compliance with laws, policies and regulations.</td>
</tr>
<tr>
<td>19-09</td>
<td>Safety and Security</td>
<td>Carried forward to FY 2020</td>
<td>Verify compliance with safety and security requirements of Texas Education Code, Section 51.217.</td>
</tr>
</tbody>
</table>

Listed below is the status of audit finding recommendations from each project completed during Fiscal Year 2019. The status is based on the following definitions and dependent upon the targeted implementation dates:

- **Implemented**: Successful development and use of a process, system, or policy to implement a recommendation.
- **Ongoing**: Ongoing development of a process, system, or policy to address a recommendation.
- **Not Implemented**: Lack of a formal process, system, policy to address a recommendation.
- **No Action Required**: No findings or recommendations were made.

<table>
<thead>
<tr>
<th>Report #</th>
<th>Report Name</th>
<th>Report Issued</th>
<th>Recommendation</th>
<th>Recommendation Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>18-c</td>
<td>Website Accessibility</td>
<td>03/28/19</td>
<td>Eighteen instances of site wide inaccessibility and non-adherent with WCAG accessible technology standards were noted. Thirteen recommendations have been implemented.</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Add heading Sequence to help organize content into logical sequential heading order by transitioning all university-related webpages to the Cascade CMS and through sitemaster training.</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Train all sitemasters to Indicate New Window whenever a link opens a new window.</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Eliminate Error Messages in form elements by transitioning existing custom forms to Class Apps Forms.</td>
<td>X</td>
</tr>
<tr>
<td>Report #</td>
<td>Report Name</td>
<td>Report Issued</td>
<td>Recommendation</td>
<td>Recommendation Status</td>
</tr>
<tr>
<td>----------</td>
<td>-----------------------</td>
<td>----------------</td>
<td>---------------------------------------------------------------------------------</td>
<td>-----------------------</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Provide Form Instructions for all new forms created in ClassApps and transition all exiting custom forms to ClassApps software.</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Create and implement changes to website that will ensure Page Resize is still accessible at 200% zoom in full screen mode.</td>
<td>X</td>
</tr>
<tr>
<td>18-05</td>
<td>Construction Contract</td>
<td>02/28/19</td>
<td>No Recommendations were issued.</td>
<td></td>
</tr>
<tr>
<td>18-06</td>
<td>Contract Management Audit</td>
<td>09/27/18</td>
<td>Eleven findings were issued. Ten recommendations have been fully implemented.</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Departments who are not following contract routing protocol should be trained to ensure contracts liaisons are aware of requirements.</td>
<td>X</td>
</tr>
<tr>
<td>19-01</td>
<td>Minors on Campus Audit</td>
<td>01/17/19</td>
<td>Ten findings were issued. Five recommendations have been fully implemented.</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>MSU Policy 4.129, Protection of Minor Children on Campus should be revised to include all elements required by Texas Education Code, Sections, 51.976 and 51.9761 and by Texas Administrative Code Chapter 265.</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>MSU Policy 4.169, Summer Camps and Conferences, should be renamed to reflect application to all events and programs involving minors, and should be updated to include current processes and procedures.</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>The University should establish a more efficient and automated process to capture employees, volunteers or third-party workers participating in events involving minors.</td>
<td>X</td>
</tr>
<tr>
<td>Report #</td>
<td>Report Name</td>
<td>Report Issued</td>
<td>Recommendation</td>
<td>Recommendation Status</td>
</tr>
<tr>
<td>---------</td>
<td>-----------------------------------</td>
<td>---------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>------------------------</td>
</tr>
<tr>
<td>19-02</td>
<td>Student Financial Assistance Cluster Audit</td>
<td>02/28/19</td>
<td>No Recommendations were issued.</td>
<td>X</td>
</tr>
<tr>
<td>19-05</td>
<td>Benefits Proportional by Fund Audit</td>
<td>02/28/19</td>
<td>Two findings were issued. One recommendation has been fully implemented. The USAS Accountant should add a step to the annual instructions to verify with the Director of Payroll regarding TRS 90 adjustments prior to finalizing and submitting the APS 011.</td>
<td>X</td>
</tr>
<tr>
<td>19-A</td>
<td>Quality Assurance Review</td>
<td>03/08/19</td>
<td>No Recommendations were issued.</td>
<td>X</td>
</tr>
<tr>
<td>19-B</td>
<td>Internal Audit Annual Report</td>
<td>10/11/18</td>
<td>No Recommendations were issued.</td>
<td>X</td>
</tr>
<tr>
<td>19-C</td>
<td>WEAVE Outcomes Report</td>
<td>10/24/18</td>
<td>No Recommendations were issued.</td>
<td>X</td>
</tr>
<tr>
<td>19-D</td>
<td>Policy Software Project</td>
<td>06/30/19</td>
<td>No Recommendations were issued.</td>
<td>X</td>
</tr>
<tr>
<td>19-E</td>
<td>Risk Assessment</td>
<td>06/13/19</td>
<td>No Recommendations were issued.</td>
<td>X</td>
</tr>
<tr>
<td>19-F</td>
<td>Audit Plan for FY 2020</td>
<td>06/20/19</td>
<td>No Recommendations were issued.</td>
<td>X</td>
</tr>
</tbody>
</table>
The status of audit recommendations from projects completed in previous years were monitored during Fiscal Year 2019. Listed below are the projects with ongoing status of audit recommendations.

<table>
<thead>
<tr>
<th>Report #</th>
<th>Report Name</th>
<th>Report Issued</th>
<th>Recommendation</th>
<th>Recommendation Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>16-01</td>
<td>TAC 202 Information Security Program Assessment</td>
<td>09/22/16</td>
<td>39 Recommendations were issued. At 10/01/19, 90% or 35 recommendations have been fully implemented.</td>
<td>X X</td>
</tr>
<tr>
<td>17-01</td>
<td>Clery Act Compliance Assessment</td>
<td>12/13/17</td>
<td>342 Recommendations were issued. At 10/01/19, 87% or 288 recommendations have been fully implemented up from 67% the previous year.</td>
<td>X X</td>
</tr>
<tr>
<td>17-02</td>
<td>Title IX Compliance Assessment</td>
<td>12/18/17</td>
<td>8 Recommendations were issued. At 10/01/19, 75% or 6 recommendations have been fully implemented</td>
<td>X X</td>
</tr>
<tr>
<td>17-C</td>
<td>Procurement Card Assessment</td>
<td>04/07/17</td>
<td>7 Recommendations were issued. At 10/01/19, 57% or 4 recommendations have been fully implemented.</td>
<td>X X</td>
</tr>
</tbody>
</table>

### V. Consulting Services and Non-audit Services

The Office of Internal Audits did not perform any consulting services as defined by the Institute of Internal Auditors’ *International Standards for the Professional Practice of Internal Auditing* or non-audit services as defined by *Governmental Auditing Standards*, 2011 Revision, Sections 3.33 – 3.58 or Government Auditing Standards, 2018 Revision, Sections 3.64 – 3.106.

Other value-added activities performed during Fiscal Year 2019 are included in the following table.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide assistance with the State Auditor’s Financial Processes and Controls Audit.</td>
<td>Coordinate and assist to aid in audit efficiency and provide expertise.</td>
</tr>
<tr>
<td>Participated in external quality assurance review at Texas Woman’s University.</td>
<td>Strengthened professional commitments and knowledge base.</td>
</tr>
<tr>
<td>Serve as advisor to committee charged with selecting policy management software.</td>
<td>Provide guidance to committee.</td>
</tr>
<tr>
<td>Serve as advisor on multiple compliance committees.</td>
<td>Provide guidance to sub-committees formed to address specific compliance areas.</td>
</tr>
<tr>
<td>Activity</td>
<td>Impact</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Serve on the University’s Compliance Support and Advisory Committee.</td>
<td>Provide guidance for maintaining an effective compliance program and investigating reported compliance concerns.</td>
</tr>
<tr>
<td>Presented cash controls training to University Account Managers Group.</td>
<td>Heightened the awareness of the need for cash controls and best practices related to cash.</td>
</tr>
<tr>
<td>Facilitate anonymous, 24/7 accessible, hotline reporting system.</td>
<td>Promote commitment to ethical behavior; improve information gathering, and mitigation of risk.</td>
</tr>
<tr>
<td>Investigate complaints or claims of fraud, waste or abuse.</td>
<td>Review information, investigate allegations, and determine if grounds exist to initiate an audit.</td>
</tr>
<tr>
<td>Serve as advisor to departments for various issues.</td>
<td>Provide guidance and/or to strengthen controls.</td>
</tr>
<tr>
<td>Other special projects.</td>
<td>Provide information and analysis.</td>
</tr>
</tbody>
</table>

VI. External Quality Assurance Review

Our most recent external quality assurance review, dated February 28, 2018, examined the audit activities for the three-year period, January 1, 2014 through December 31, 2016. The review indicated the Office of Internal Audits generally conforms with the Texas Internal Auditing Act (Texas Government Code Chapter 2102), the Institute of Internal Auditors’ *International Standards for the Professional Practice of Internal Auditing* and *Code of Ethics*, and the U.S. Government Accountability Office’s *Generally Accepted Government Auditing Standards*. Our next external quality assurance review will be conducted during calendar year 2020.

VII. Internal Quality Assessment

The Office of Internal Audits maintains a quality assurance and improvement program. To ensure adherence to auditing standards the following is performed:

- Annual review of compliance with *International Standards for the Professional Practice of Internal Auditing*, and *Generally Accepted Government Auditing Standards* (collectively called the *Standards*).
- Remain up-to-date on auditing standards through continuing professional education, membership in accounting and auditing associations, technical reading, and independent research.
- Complete an audit standards compliance review at the end of each audit.
- Complete annual independence disclosure statements.
- Comply with annual continuing professional education requirements.
Ongoing assessment of the internal audit activity is maintained through daily supervision and review; audit exit conferences; annual employee performance evaluations; monitoring of performance measures; and meetings with the President, Vice-Presidents, and the Board of Regents Audit, Compliance and Management Committee Chair.

Monitoring of other performance measures include:

- Effective utilization of resources,
- Meeting internal and external deadlines,
- Timely completion of audits and special projects,
- Percentage of audit recommendations implemented by management, and
- Maintaining of professional certifications.

The Chief Audit Executive (CAE) set the following goals for Fiscal Year 2019 to aid in compliance with standards and increase efficiency. Listed below are the outcomes for each goal.

1. **Continue to Enhance Knowledge in the Use of TeamMate Auditing Software.** TeamMate automated auditing software was configured and installed in August 2018. One hundred percent of Fiscal Year 2019 audits utilized the software’s electronic working papers and risk assessments. Outstanding audit recommendations were tracked through TeamCentral, which allowed update reports to be provided quarterly to supervisors, or Vice-Presidents. Project hours were effectively monitored with TeamMate time capture.

2. **Update Policy Manual to Reflect Changes and Website for Accessibility.** The Office of Internal Audits website was updated including changes to ensure accessibility. The policy manual was not updated and remains a goal for Fiscal Year 2020.

3. **Achieve one-half of the Requirements to Obtain Certification for Newly Hired Auditor.** In April 2019, the newly hired Auditor passed the first of three exams for the Certified Internal Auditor designation.

4. **Integrate the COSO Internal Control Integrated Framework into the Risk Assessment Process.** This goal was not met. Integration of the COSO Internal Control Framework remains a goal for Fiscal Year 2020.

The annual self-assessment and on-going monitoring of compliance with the Standards found the Office of Internal Audits to be in compliance. As part of the assessment, the following goals for Fiscal Year 2020 were set:

1. Continue to enhance knowledge in the use of TeamMate auditing software and add technology based audit and other data analysis techniques.

2. Enhance overall auditing skills in information technology risks and controls.

3. Update the policy manual to reflect changes and electronic working papers protocol.

4. Fulfill the requirements for Certified Internal Auditor designation by the Auditor.

5. Integrate the Internal Control Integrated Framework published by the Committee of Sponsoring Organizations (COSO) into the risk assessment process.
VIII. Internal Audit Plan for Fiscal Year 2020

The Board of Regents at their August 1, 2019 meeting approved the Fiscal Year 2020 Internal Audit Plan. The plan includes audits that are required by statute or administrative policy, assistance required by oversight agencies, audits that are currently in progress, and planned engagements based on assessment of risk. Audit resources will be allocated among required audits, risk-based audits, special projects, investigations, meetings, committee service, and audit department activities and administration.

A full time Chief Audit Executive and a full time Auditor currently staff the Office of Internal Audits. Available hours for Fiscal Year 2020 projects after consideration of University holidays, vacation, sick leave and wellness release is 3,540 hours.

Risk based audits planned for Fiscal year 2020 include the following:

- Admissions

Listed below is the Fiscal Year 2020 Internal Audit Plan.

<table>
<thead>
<tr>
<th>Project</th>
<th>Description</th>
<th>Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Financial, Compliance, Operational, Efficiency &amp; Effectiveness Audits</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Audit Assistance to Oversight Agencies</td>
<td>Provide audit assistance to state and federal oversight agencies such as Texas State Auditor’s Office, Texas Higher Education Coordinating Board, Texas State Comptroller’s Office and grant agencies.</td>
<td>48</td>
</tr>
<tr>
<td>Implementation of Prior Audit Recommendations</td>
<td>Obtain representations from management and verification if necessary, regarding implementation status of prior audit recommendations.</td>
<td>160</td>
</tr>
<tr>
<td>Safety and Security</td>
<td>Verify compliance with safety and security requirements of Texas Education Code, Section 51.217.</td>
<td>200</td>
</tr>
<tr>
<td>Admissions</td>
<td>Review policies governing the admission process and controls ensuring compliance with laws, policies, and regulations.</td>
<td>300</td>
</tr>
<tr>
<td>Benefits Proportional By Fund</td>
<td>Verify compliance with requirements to pay benefits in proportion to the sources of funds from which the corresponding salaries and wages were paid in accordance with applicable statutes, General Appropriations Act requirements, and related University policies and procedures.</td>
<td>200</td>
</tr>
<tr>
<td>Departmental</td>
<td>Review for compliance with various regulations and/or for efficiency and effectiveness.</td>
<td>300</td>
</tr>
<tr>
<td>Information Security</td>
<td>Provide Assistance to firm contracted to review the IT department’s plan to resume system resources should a disaster occur in compliance with Texas Administrative Code 202</td>
<td>80</td>
</tr>
<tr>
<td>Project</td>
<td>Description</td>
<td>Hours</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-------</td>
</tr>
<tr>
<td>Internal Quality Assurance Review and External Validation</td>
<td>Conduct a self-assessment of the internal audit activity’s conformance with the Texas Internal Auditing Act and professional standards in preparation for an independent validation.</td>
<td>80</td>
</tr>
<tr>
<td>National Collegiate Athletic Association (NCAA) Agreed Upon Procedures</td>
<td>Provide assistance to the independent auditors performing the agreed upon procedures of MSU athletic financial statement as required by NCAA.</td>
<td>200</td>
</tr>
<tr>
<td>Public Funds Investment Act (PFIA)</td>
<td>Review compliance with PFIA, management controls on investments, and adherence to University investment policies.</td>
<td>240</td>
</tr>
<tr>
<td>Annual Risk Assessment</td>
<td>Facilitate annual University risk assessment.</td>
<td>40</td>
</tr>
<tr>
<td>Annual Audit Plan</td>
<td>Prepare annual audit plan.</td>
<td>40</td>
</tr>
<tr>
<td>Annual Audit Report</td>
<td>Prepare annual audit report.</td>
<td>40</td>
</tr>
<tr>
<td>Audits Carried Forward</td>
<td>Finalize prior fiscal year audits not complete at August 31, 2019 and carried forward into the current year.</td>
<td>72</td>
</tr>
<tr>
<td><strong>Total Audit Hours</strong></td>
<td></td>
<td>2,000</td>
</tr>
<tr>
<td><strong>Special Projects</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hotline, Fraud, or Ethics Investigations</td>
<td>Facilitate University anonymous reporting system and investigations.</td>
<td>48</td>
</tr>
<tr>
<td>Special Projects</td>
<td>Based on requests from Board of Regents, Administration or others.</td>
<td>160</td>
</tr>
<tr>
<td><strong>Total Special Projects</strong></td>
<td></td>
<td>208</td>
</tr>
<tr>
<td><strong>Meetings and Committee Service</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ethics and Compliance Committee</td>
<td>Serve as advisory member of the committee and all sub-committees.</td>
<td>220</td>
</tr>
<tr>
<td>Administrative Meetings</td>
<td>Attend administrative meetings as requested.</td>
<td>240</td>
</tr>
<tr>
<td>Other University Meetings or Events</td>
<td>Attend other meetings or events as requested.</td>
<td>48</td>
</tr>
<tr>
<td>Board of Regents Meetings</td>
<td>Prepare for and attend Board of Regents meetings or events.</td>
<td>120</td>
</tr>
<tr>
<td><strong>Total Meetings and Committee Service</strong></td>
<td></td>
<td>628</td>
</tr>
<tr>
<td><strong>Audit Department Activities and Administration</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professional Development and Travel</td>
<td>Professional development, maintain certifications, continuing education and related travel.</td>
<td>160</td>
</tr>
<tr>
<td>Records Management</td>
<td>Manage records maintenance.</td>
<td>40</td>
</tr>
<tr>
<td>Audit Manual and Webpage Revisions</td>
<td>Update audit manual and webpage.</td>
<td>24</td>
</tr>
<tr>
<td>General and Administrative Tasks</td>
<td>Office administrative duties (planning, purchasing, recordkeeping scheduling, reporting, etc.).</td>
<td>432</td>
</tr>
<tr>
<td>Staff Meetings</td>
<td>Intra office communications and planning.</td>
<td>48</td>
</tr>
<tr>
<td><strong>Total Audit Department Activities and Administration</strong></td>
<td></td>
<td>704</td>
</tr>
<tr>
<td><strong>Total Allocated Hours</strong></td>
<td></td>
<td>3,540</td>
</tr>
</tbody>
</table>


The methodology used to develop the Fiscal Year 2020 audit plan included conducting three risk assessment surveys. The most comprehensive survey was sent to the University’s President, the Provost, all Vice Presidents, the Director of Board & Government Relations, the Director of Marketing & Public Information, General Counsel, and all College Deans. It was also sent to the Associate Vice President of Facilities Services, the Athletic Director, the Director of Human Resources, the Director of Purchasing & Contract Management and the Director of Internal Audits. A slightly less comprehensive survey was sent to each member of the Compliance and Ethics Coordinating Committee and to all directors. The smallest survey was sent to the University’s Board of Regents Chairman and to the chairs of the three Board of Regents committees.

The survey recipients were asked to rate risks based on the degree of negative impact (consequence) it would have on the University and the likelihood (probability) of that risk occurring. A rating scale of high, medium, or low was used and categorized as follows:

- High impact / high likelihood score > 13.1
- Medium impact / medium likelihood score 10.0 – 13.0
- Low impact / low likelihood score < 9.
Each number in the heat map represents one of the survey questions, which were plotted to measure its relative risk.

The top five rated risks are listed in the table below along with the proposed audits to address each one. Two of the five risks (survey questions #17 and #3) plotted in the upper middle sector of the heat map representing high impact and medium likelihood. Two other risks (survey questions #10 and #11) plotted in the center of the map representing medium impact and medium likelihood. The last risk, (survey question #13) plotted as high impact and lower likelihood. The average values of impact and likelihood for the top five risks ranged between 11.0 and 13.5.

<table>
<thead>
<tr>
<th>Survey Question #</th>
<th>Risk Category</th>
<th>Perceived Risk</th>
<th>Audit Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>17</td>
<td>Operational Risk</td>
<td>Risk of an information security breach.</td>
<td>Disaster Recovery Plan Testing (Outsourced)</td>
</tr>
<tr>
<td>3</td>
<td>Operational Risk</td>
<td>Risk of inadequate controls such as lack of segregation of duties,</td>
<td>Departmental Audits: Payroll and Distance Education</td>
</tr>
<tr>
<td></td>
<td></td>
<td>lack of appropriate policies and procedures, lack of supervisory review, etc.</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Financial Risk</td>
<td>Risk of budget fluctuations such as loss of funding source, expected or</td>
<td>Post Construction Audit, Benefits Proportionality Audit</td>
</tr>
<tr>
<td></td>
<td></td>
<td>increased expenditures, unfunded mandates, or other factors affecting the</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>budget.</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Compliance Risk</td>
<td>Risk of policies and procedures not appropriately followed.</td>
<td>NCAA, Internal Quality Assurance Review</td>
</tr>
<tr>
<td>13</td>
<td>Compliance Risk</td>
<td>Risk of non-compliance with federal and state laws or regulations.</td>
<td>Admissions Audit, Public Funds Investment Act, Safety &amp;</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Security Audit - (carryover from FY 2019)</td>
</tr>
</tbody>
</table>
IX: External Audit Services

External audit services procured or ongoing during Fiscal Year 2019 include:

- Procured: Edgin, Parkman, Fleming & Fleming, Wichita Falls, TX, to perform an audit of university expenditures of Title IV of the Higher Education Act Programs (Student Financial Assistance Cluster) for Fiscal Year 2018.

- Ongoing: CBIZ Risk & Advisory Services, LLC, Boston, MA, to perform a construction contract audit and provide risk advisory services.

X: Reporting Suspected Fraud and Abuse

To comply with the fraud reporting requirements of Section 7.09, page IX-37, the General Appropriations Act (86th Legislature), and the investigation coordination requirements of Texas Government Code, Section 321.022, the University has taken the following actions:

- A direct link on the University’s website home page is provided to report suspected fraud, compliance, or ethics concerns.

- The University Fraud, Compliance, and Ethics Concerns web page at www.msutexas.edu/internal-audits/fraud provides instructions, a toll free phone number and website link to the anonymous hotline service, EthicsPoint. Also listed is the State Auditor’s Office Fraud Hotline phone number and a direct link to the SAO How to Report Fraud, Waste or Abuse webpage.

- University Policy 4.117, Suspected Dishonest or Fraudulent Activities established processes to identify and investigate suspected cases of defalcations, misappropriations, and other fiscal irregularities and assigned responsibilities to specific University employees involved in handling these cases. The policy was approved by the University Board of Regents in February 2017 and complies with the requirements of Texas Government Code, Section 321.022 and Texas Education Code, Section 51.9337 as added by Senate Bill 20 (84th Legislature).

- New employee orientation includes a review of University policies on standards of conduct for state employees and ethics.
October 11, 2019

Dr. Suzanne Shipley, President
Midwestern State University
Wichita Falls, TX 76308

Dear Dr. Shipley:

The Office of Internal Audits has completed an audit of Midwestern State University’s compliance with the Public Funds Investment Act (PFIA), Texas Government Code, Chapter 2256. This engagement was included in our annual audit plan for the year ending August 31, 2020. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing and with Generally Accepted Government Auditing Standards (collectively the Standards). The Standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

The objective of our audit was to review Midwestern State University’s (the University or MSU) compliance with the PFIA, review management’s controls on investments and adherence with University policies. Based on our audit procedures, we found that MSU is generally in compliance with the Public Funds Investment Act and University policies. We did note opportunities to strengthen controls and areas for improvement as discussed in the attached Details of Audit Findings.

Our Standards require that we monitor audit findings to ensure that management action plans have been effectively implemented. Our follow-up procedures will vary based on the significance of the findings and may include reviewing policies and processes or we may perform limited procedures to ensure the action plan is working as intended.

We appreciate the courtesies extended to us during this engagement.

Sincerely,

Leigh Kidwell

Leigh Kidwell, CPA, CIA, CGMA
Chief Audit Executive

Report Distribution:

MSU Responsible Parties:
   Dr. Beth Reissenweber, VP Administration and Finance
   Chris Stovall, Controller

Members of the Audit, Compliance and Management Committee:
   Tiffany Burks
   Caven Crosnoe
   Karen Liu Pang

State of Texas Agencies:
   Governor’s Budget and Policy Division
   Legislative Budget Board
   State Auditor’s Office
Background

The Texas Legislature enacted the Public Funds Investment Act (PFIA) in 1995 to improve the transparency and management of investments by state agencies, higher education institutions, community colleges, and local governments. The PFIA provides guidance related to investment policies and strategies; board and investment officer responsibilities; standards of care; training; authorized investments; and internal reporting requirements.

PFIA, Chapter 2256.005 (n) requires at least once every two years, a compliance audit of management controls on investments and adherence to the institution’s established investment policies be performed by the institution’s internal auditor or by a private auditor. The audit results must be reported to the state auditor not later than January 1 of each even-numbered year.

The Texas Education Code, Section 51.0031(c-1) was amended during the 2013 Legislative session to allow governing boards that do not have under their control at least $25 million in book value of endowment funds, to enter into a contract to pool its funds with another institution. As a result of this amendment, the University contracted with Texas A&M University System (TAMUS) for portfolio investment services. TAMUS and other institutions with total endowments of at least $150 million in book value on May 1, 2017, are not required to comply with PFIA per Texas Government Code, Chapter 2256.004(a)(3). Based on the provisions in Government Code, Section 2256.004, we interpreted that the University’s funds invested with TAMUS are not subject to the PFIA.

Objective and Scope

Our audit objective was to review compliance with the Public Funds Investment Act, Texas Government Code, Section 2256, review management controls on investments, and adherence to the University investment policy as of May 31, 2019. The scope of our audit includes operating and bond funds reflected on the quarterly investment reports and related investment activities for the period June 01, 2018 through May 31, 2019. The scope excludes the operating, quasi-endowment, and endowment funds invested with TAMUS.

Procedures

We performed our audit in accordance with the International Standards for the Professional Practice of Internal Auditing and with Generally Accepted Government Auditing Standards (collectively the Standards).

Our audit procedures consisted of the following:

- Review applicable regulations;
- Review investment policies;
- Perform testing;
- Examine the adequacy of investment internal controls;
- Evaluate opportunities for fraud to occur; and
- Other procedures as deemed necessary.
Summary of Findings and Observations

Based on our audit procedures, the University is generally compliant with the Public Funds Investment Act and with University policies as of May 31, 2019. We did note opportunities to strengthen controls and areas for improvement as discussed in the attached Details of Audit Findings.

Audit Follow-Up

Our Standards require we monitor audit findings to ensure management action plans have been implemented in a timely and appropriate manner. As part of this audit, we performed follow-up procedures to verify the status of management’s action plan resulting from Audit 18-02 issued on December 21, 2017. We found the action plan has been fully implemented.

Acknowledgements

We appreciate the assistance provided to us during our audit by Chris Stovall, Controller; Debbie Barrow, Director of Board and Government Relations; and Dr. Beth Reissenweber, Vice President of Administration and Finance.
DETAILS OF AUDIT FINDINGS

Finding 1 – Internal Controls

Background

PFIA Section 2256.005(n) requires a compliance audit every two years of management controls on investments and adherence to the University’s established investment policies. Management controls are designed to allow an organization to accomplish its objectives, enable work to proceed as expected, and are classified as preventive or detective. Preventive controls are designed to discourage errors or irregularities. Detective controls are designed to identify an error or irregularity after it has occurred. It is important to recognize that in most cases management controls are not expected to eliminate all risks. Controls should exist to reduce risk to a justified level. Both the analysis of risk and controls are the responsibility of management.

Findings

While performing our audit procedures, we noted management controls over authorization and approval failed to detect irregularities. As part of the monthly bank reconciliation, an employee without investment transaction authority verifies transactions for accuracy, and authorization. However, the current process failed to detect that two transactions were performed by an employee who is not authorized to purchase, sell or invest university funds, and failed to detect that approval was provided after the transactions occurred.

The Controller is authorized to purchase, sell and invest university funds but was out of the office on the day these transactions had to be executed. He gave verbal approval for another employee to initiate both transactions; however, both entries were processed before receiving approval from the former Vice President of Administration and Finance.

During the audit, we also noted appropriate approvals are not obtained on withdrawal requests under the 2016 Investment Repurchase Agreement. University Policy 4.182, Investment Policy- Operating Funds, authorizes the Controller to purchase, sell, and invest university funds with the approval of the President or Vice President for Administration and Finance.

Recommendations

1) Management should strengthen controls over investment transaction authorization and approval by adding this review to the monthly transaction verification controls already in place.
2) Management should implement controls to ensure Investment Repurchase Agreement withdrawals are reviewed and approved per University Policy 4.182.

Management Response

1) The Controller will delegate authority in writing to perform investment transactions (as necessary) in advance of any absence. This will ensure sufficient liquidity is maintained to meet current obligations.
2) The employee reviewing the Investment Transaction Approval Form will be trained to also ensure that each transaction was requested and approved by authorized employees prior to the transaction.
3) Flexible repurchase transactions will be added to the existing investment approval form for cash investment transactions and submitted for approval for future transactions

Responsible Party

Chris Stovall, Controller
DETAILS OF AUDIT FINDINGS

Finding 2 – GAA Reporting Requirements

Background

Article III, Rider 5 of the General Appropriations Act (GAA) requires educational institutions to file an annual investment transaction report in a method prescribed by the State Auditor’s Office with the State Auditor, Comptroller of Public Accounts, Legislative Budget Board and the Governor. Copies of the investment report are to be available for public inspection, and be published and maintained on the University’s website. Rider 5 also requires educational institutions to submit a copy of their investment policy by December 31 of each year to the Legislative Budget Board and the State Auditor’s Office.

Finding

While performing our audit procedures, we found the University was partially in compliance with the GAA Article III, Rider 5 reporting requirements. The annual investment report was prepared in the method prescribed by the State Auditor’s Office, and was published and maintained on the University’s website. Both the investment report and University policy were submitted to the State Auditor’s prior to the December 31 deadline. However, the investment report was not submitted to the Comptroller of Public Accounts, Legislative Budget Board or the Governor. The University policy was not submitted to the Legislative Budget Board.

Recommendation

Management should implement controls to ensure the investment report and investment policy are submitted annually to all of the oversight agencies by the December 31 deadline.

Management Response

Future annual investment reports and policy submissions will be sent to all oversight agencies as required. Currently, these include: the State Auditor’s Office, Comptroller of Public Accounts, Legislative Budget Board, and the Office of the Governor.

Responsible Party

Chris Stovall, Controller
DETAILS OF AUDIT FINDINGS

Finding 3 – PFIA Investment Policies, Strategies, and Officers

**Background**

PFIA Section 2256.005(a) requires the University to have a written investment policy. Section 2256.005(b) states eleven elements that must be included in the investment policy, and sections (c) through (l) provide guidance on policies, strategies, and naming of investment officers.

**Findings**

While performing our audit, we found the University was mostly in compliance with the PFIA Section 2256.005. We did note in University Policy 4.182, *Investment Policy – Operating Funds*, Section G. Investment Guidelines, does not include the maximum allowable stated maturity for every authorized investment type as required by PFIA Section 2256.005(b)(4)(B).

We also noted the Board of Regents annually authorizes the President, Vice President of Administration and Finance, and the Controller to transact investment business but does not specifically identify investment officers. PFIA Section 2256.005(f) requires the University to designate one or more officers or employees as investment officers to be responsible for the investment of its funds.

**Recommendations**

1) Management should amend Policy 4.182, Section G, to state the maximum allowable maturity for every authorized investment to be totally in compliance with Public Funds Investment Act, Section 2256.005(b)(4)(B).

2) Management should designate the appropriate officer(s) and employee(s) as investment officers as required by PFIA Section 2256.005(f), by including that designation in Policy 4.182 and/or by requesting the Board of Regents approve the designation annually.

**Management Response**

1) Policy 4.182 will be updated with the language from Texas Government Code Section 2256.005(b)(4)(B).

2) Future Board items will specifically identify investment officers to comply with Texas Government Code Section 2256.005(f). The responsibility associated with the Investment Officer designation will be included in the appropriate job descriptions for the Controller and Vice President for Administration and Finance.

**Responsible Party**

Chris Stovall, Controller
OFFICE OF INTERNAL AUDITS CHARTER

INTRODUCTION

Internal Auditing is an independent and objective assurance and consulting activity that is guided by a philosophy of adding value to improve the organization’s operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate the effectiveness of risk management, internal controls, operational and governance processes.

PURPOSE

The purpose of the Office of Internal Audits (OIA) is to enhance and protect the Midwestern State University’s (MSU or University) value by providing risk-based and objective assurance, advice and insight. The OIA was established to assist the University achieve its goals and objectives, identify and address risk, and continuously improve processes and operations as a service to the Board of Regents, the President, and management.

The OIA is responsible for providing executive management with information about the adequacy and effectiveness of the University’s system of internal administrative and accounting controls and the quality of operating performance when compared with established standards.

AUTHORITY

The internal audit activity is established per the Texas Internal Auditing Act, Texas Government Code, Chapter 2102. The MSU Board of Regents’ Audit, Compliance, and Management Review Committee provides oversight.

The OIA will govern itself by adherence to the mandatory elements of The Institute of Internal Auditors’ International Professional Practices Framework, including the Core Principles, the Code of Ethics, the Definition of Internal Auditing, and the International Standards for the Professional Practice of Internal Auditing, as well as Generally Accepted Governmental Auditing Standards as required by the Texas Internal Auditing Act, herein, collectively referred to as “standards.” The Institute of Internal Auditors’ Implementation Guidance and Supplemental Guidance will also be adhered to as applicable. In addition, the OIA will adhere to relevant MSU policies and procedures and the OIA’s policy and procedures manual.

The Chief Audit Executive (CAE) Director of Internal Audits (Director) will have unrestricted access to, and communicate and interact directly with the Board of Regents’ Audit, Compliance, and Management Review Committee, including private meetings without management present.

The Board of Regents authorizes the Office of Internal Audits internal audit department to:

- Have full, free, and unrestricted access to all functions, records, property, and personnel pertinent to carrying out any engagement, subject to accountability for confidentiality and safeguarding of records and information.
• Allocate resources, set frequencies, select subjects, determine scopes of work, apply techniques required to accomplish audit objectives, and issue reports.
• Obtain assistance from the necessary University personnel, as well as other specialized services from within or outside the University, in order to complete the engagement.

**Organization**

The OIA is an integral part of MSU and functions in accordance with the policies established by the Board of Regents. To provide for the independence of the department, the CAE Director is appointed by the Board of Regents and reports functionally (directly) to the board’s Audit, Compliance and Management Review Committee and reports administratively to the President.

To establish, maintain, and assure that MSU’s Office of Internal Audits internal audit department has sufficient authority to fulfill its duties, the Board of Regents will:

- Approve the OIA’s internal audit department’s charter.
- Approve the risk-based internal audit plan.
- Approve the OIA’s internal audit department’s budget and resource plan.
- Receive communications from the CAE Director on the internal audit department’s performance relative to its plan and other matters.
- Approve decisions regarding the appointment and removal of the CAE Director.
- Approve the remuneration of the CAE Director.
- Make appropriate inquiries of management and the CAE Director to determine whether there is inappropriate scope or resource limitations.

**Independence and Objectivity**

The CAE Director will ensure that the Office of Internal Audits internal audit department remains free from all conditions that threaten the ability of internal auditors to carry out their responsibilities in an unbiased manner, including matters of audit selection, scope, procedures, frequency, timing, and report content. If the CAE Director determines that independence or objectivity may be impaired in fact or appearance, the details of impairment will be disclosed to the appropriate parties. At least annually, the CAE Director will confirm the organizational independence of the internal audit department to the Board of Regents.

Internal auditors will maintain an unbiased mental attitude that allows them to perform engagements objectively and in such a manner that they believe in their work product, that no quality compromises are made, and that they do not subordinate their judgment on audit matters to others.

Internal auditors will have no direct operational responsibility or authority over any of the activities audited. Accordingly, they will not implement internal controls, develop procedures, install systems, prepare records, or engage in any other activity that may impair audit judgment. They will:

- Exhibit the highest level of professional objectivity in gathering, evaluating, and communicating information about the activity or process being examined.
- Make balanced assessments of all available and relevant facts and circumstances.
- Not be unduly influenced by their own interests or by others in forming judgments.
- Disclose any impairment of independence or objectivity, in fact or appearance, to the appropriate parties.
Safeguards will be established to limit impairments to independence or objectivity where the CAE Director has or is expected to have roles and /or responsibilities that fall outside of internal auditing.

The CAE Director will disclose to the Board of Regents any interference and related implications in determining the scope of internal auditing, performing work, and /or communicating results.

**SCOPE OF ACTIVITIES**

The Office of Internal Audits’ internal audit department’s scope of work encompasses, but is not limited to, examination and evaluation of the adequacy and effectiveness of the University’s governance, risk management, and internal controls as well as the quality of performance in carrying out assigned responsibilities to achieve the University’s goals and objectives, including:

- Risks, including strategic risks, are appropriately identified and managed.
- Officers, directors, employees, and contractors’ actions are in compliance with policies, standards, procedures and applicable laws and regulations.
- Operations and programs are being carried out effectively and efficiently and their results are consistent with established goals and objectives.
- Processes and systems are established to enable compliance with the policies, procedures, laws, and regulations.
- Resources and assets are acquired economically, used efficiently, and protected adequately.

The CAE Director will report periodically to senior management and the Board of Regents regarding the internal audit departments:

- OIA’s purpose, authority, and responsibility.
- OIA’s conformance with the Standards.
- OIA’s resource requirements.
- Impact of resource limitations on the internal audit plan, if any.
- Audit plan and performance relative to its plan.
- Results of audit engagements or other activities.
- Significant risk exposures and control issues, including fraud risks, governance issues, and other matters requiring the attention of, or requested by the board’s Audit, Compliance and Management Committee.
- Any response to risk by management that may be unacceptable to the University.

**RESPONSIBILITY**

The Office of Internal Audits has the responsibility to:

- Ensure compliance with the Texas Internal Auditing Act.
- Develop a flexible, annual audit plan using an appropriate risk-based methodology, and submitting that plan to the President and Audit, Compliance, and Management Review Committee for review and to the Board of Regents for approval on an annual basis.
- Implement the annual audit plan, as approved, including, as appropriate, any special projects requested by senior management or the Board of Regents.
- Review and adjust the audit plan, as necessary, in response to changes in risk, operations, programs, systems, and controls. Communicate to senior management and the Board of Regents any significant changes.
• Ensure each audit engagement is executed, including the establishment of objectives and scope, the assignment of appropriate and adequately supervised resources, the documentation of work programs and testing results.
• Follow up on engagement findings and corrective actions, and report periodically to senior management and the Board of Regents any corrective actions not effectively implemented.
• Promptly communicate the results of engagements with applicable conclusions and recommendations to the appropriate individuals.
• Issue periodic reports to the President and Board of Regents summarizing results of audit activities, including progress on the annual audit plan, audit accomplishments, and highlights of any significant audit findings and recommendations.
• Keep the President and the Board of Regents informed of emerging trends and issues that could impact the University's successful practices in internal auditing.
• Ensure emerging trends and successful practices in internal auditing are considered.
• Conduct special audits requested by the Board of Regents or the President.
• Have and maintain a professional audit staff with sufficient knowledge, skills, abilities, experience, and professional certifications to meet requirements of this charter and the Texas Internal Auditing Act.
• Establish and ensure adherence to policies and procedures designed to guide the Office of Internal Audits' internal audit department and conform to the Standards.
• Ensure the principles of integrity, objectivity, confidentiality, and competency are applied and upheld.
• Provide consulting and advisory services at the request of management consistent with the Institute of Internal Auditors' standards for consulting engagements. The nature and scope of these engagements will be agreed with the client, provided the Office of Internal Audits' internal audit department does not assume management responsibilities.
• Coordinate activities, where possible, and consider relying upon the work of other internal and external assurance and consulting service providers as needed.
• Develop relationships throughout the University to become a trusted advisor to management on governance, risk management and internal control matters.
• Guide the University on control self-assessments by assisting managers with risk self-assessments and conducting self-audits.
• Serve as liaison, coordinate the efforts and consider the scope of work of external auditors and regulators, as appropriate, for the purpose of providing optimal audit coverage to the University.
• Assist in the investigation of suspected fraudulent activities (e.g., defalcation, misappropriation, and other fiscal irregularities) at the University, including possible improvements (e.g., policies, procedures, and compliance reviews) to prevent the likelihood of potential frauds occurring, and notify the President and the Board of Regents of the results.
• File internal audit reports and related responses or action plans as required with the Office of the Governor, the State Auditor’s Office, the Sunset Advisory Commission, and the Legislative Budget Board within thirty days after presentation to the Board of Regents and the President.
• Prepare the annual report required by the Texas Internal Auditing Act and submit the report by the due date to the Office of the Governor, the State Auditor’s Office, the Sunset Advisory Commission, the Legislative Budget Board, and the University’s Board of Regents and President.
QUALITY ASSURANCE AND IMPROVEMENT PROGRAM

The Office of Internal Audits will maintain a quality assurance and improvement program that covers all aspects of the internal audit department. The program will include an evaluation of the OIA’s internal audit department’s conformance with the Definition of Internal Auditing, the Core Principles, and the International Standards for the Professional Practice of Internal Auditing, and an evaluation of whether internal auditors apply the Code of Ethics, as well as Generally Accepted Government Auditing Standards and the Texas Internal Auditing Act as applicable. The program will also assess the efficiency and effectiveness of the department and identify opportunities for improvement.

The CAE Director will communicate to senior management and the Board of Regents on the OIA’s internal audit department’s quality assurance and improvement program, including results of internal assessments and external assessments conducted at least once every three years by qualified, independent reviewers.

RELEVANT STATUTES AND POLICIES

- Texas Internal Auditing Act, Texas Government Code, Chapter 2102
- MSU Policy 2.31, Administration Selection Process
- MSU Policy 2.323, President’s Office (Organization)
- MSU Policy 4.117, Suspected Dishonest or Fraudulent Activities

APPROVAL

The Office of Internal Audits Charter was submitted by the Chief Audit Executive for review and approval by the Board of Regents on November 07, 2019.

Dates Approved or Amended:

08/03/2017
11/13/2015
08/12/1988
Statement of Expectations
of the Members of the Board of Regents

The Texas Legislature has delegated primary responsibility for governance of Midwestern State University (“MSU” or “University”) to the University’s Board of Regents (“Board”). Texas Education Code Sections 103.02 and 103.07 provide that the organization, control, and management of the University is vested in the Board of Regents who are to build and operate a public liberal arts University of the first rank to offer its students, consistent with the University's mission, preparation for excellence in a variety of careers and exploration of a variety of interests.

To serve on a university governing board is a rare privilege in our society. With this honor come considerable duties, responsibilities, and expectations. Each member of the Board must be willing to make a strong and sustained personal commitment of time, talent, and energy in order to meet the challenges of this demanding role.

Recognizing the broad authority and responsibility vested in the Board of Regents for the governance and oversight of the University, there is a specific expectation that Board members become knowledgeable regarding MSU matters as well as the duties and responsibilities of Regents. In accordance with Section 2.04.9 of The Bylaws of the Midwestern State University Board of Regents, MSU Regents have chosen to clarify what we expect of one another and to remind ourselves of our ongoing individual duties and responsibilities, and to serve as a reference point for self-evaluation and review of our individual performances and that of the Board and its committees. This statement is also intended to inform the public of what the Board expects of its members and to help those who may consider becoming a Regent to understand more fully what is expected.

Since its founding in 1922, Midwestern State University has benefited greatly from the devotion, service, intellectual contributions, ethical behavior, and philanthropy of thousands of faculty, staff, students, alumni, and friends. In a very real sense, they also are “trustees” of the institution by virtue of their dedication, affection, and generosity that help to ensure that the University will faithfully serve this and future generations. Those of us who have been chosen to serve as fiduciary trustees for a period of time - to safeguard the University's assets and to foster its capacity to serve others - enthusiastically and without reservation accept the following expectations as evidence of the commitment of each Regent.

Statement of Expectations of the Members of the Board of Regents
Adopted ________ __, 2019
Dutifully Serve as a Member of the Board

• The responsibility of individual Regents is to serve as trustees for the people of the State of Texas and as stewards for MSU, acting to govern the University in fulfillment of its mission in the best interests of the people of Texas.

• Regents make service to the University a high priority and commit the time and effort to: attend a University orientation session for new Board members; timely complete state mandated training; educate themselves about University matters including the mission and character of the MSU campus, its partnerships with various community colleges in Texas, organizations affiliated with the University (e.g., MSU Foundation/Charitable Trust); and diligently prepare for and faithfully attend meetings of the Board and its committees.

• Regents engage constructively in the work of the Board and actively seek leadership roles on the Board, and carry out the responsibilities associated with those roles.

• Regents work collegially with other Regents, the President, and as appropriate, faculty, students, staff, and other University constituents and promote a Board culture characterized by dedication, diligence, collaboration, teamwork, candor, transparency, mutual accountability, and marked by distributed influence, collective wisdom, open-minded listeners, constructive dissent, respect and trust, and clear expectations. Regents discuss issues fully but accept and support decisions reached by the Board.

• Regents promote the role of the Board as a policy-making oversight body that supports the President, senior administration, and the faculty in their day-to-day management of the University’s operations and implementation of institutional strategy and policies.

• Regents understand and act consistently with the principle that they serve the University as a whole and not any particular academic or administrative unit or constituent.

• Regents maintain the confidential nature of Board deliberations held in closed session, including written and verbal communication.

Advance the Values, Mission, Traditions, and Reputation of the University

• Regents understand that they individually owe a fiduciary obligation to act in good-faith at all times and in the best interests of the University consistent with its mission and purposes.

• Regents support the practice of shared governance – the process by which the Board, the President and senior administration, faculty, staff, and students contribute to decision making related to University policy and procedure – and its periodic review for improvements to ensure that it supports the University’s strategy and vision.

• Regents regularly participate in the life of the University, including attending spring and fall graduation ceremonies (these are especially important), annual Homecoming activities, major gifts and namings, dedications of new/renovated campus facilities/programs, and celebrations of milestone events in the history of the University.

• Regents actively safeguard principles of academic freedom for the University and its faculty and endeavor to protect the University from outside influences seeking improperly to shape it.

• Regents help the University obtain the resources it needs to support its mission and make the University a top philanthropic priority to the very best of one’s personal ability (except for Student Regents).

Statement of Expectations of the Members of the Board of Regents
Adopted ________ __, 2019
Uphold the Integrity of the Board

• Regents understand and adhere to The Bylaws of the Midwestern State University Board of Regents, including Section 2.04 (Duties and Responsibilities), University policy, including MSU Policy 2.25 (Ethics Policy for the Board of Regents), and applicable laws, rules, and regulations, including Texas Education Code Chapter 572 (Personal Financial Disclosure, Standards of Conduct, and Conflict of Interest), the Texas Open Meetings Act (Texas Government Code Chapter 551), and the Texas Public Information Act (Texas Government Code Chapter 552).

• Regents adhere to the highest standards of personal and professional integrity, including avoiding real or perceived conflicts of interests and promptly and fully disclosing any potential or actual conflicts of interest. Regents do not use service on the Board, or information obtained through service on the Board, for personal advantage or for the advantage of family members, friends, or business associates.

• Regents abstain from asking the President or others for special treatment, including admissions, employment, and contracts for business, and understand that the President and the University Secretary are the primary contacts within the University with regard to Board business.

• Regents understand that the President, as the University’s chief executive officer, is the spokesperson for the University with the Chair of the Board being spokesperson for the Board. Regents are active supporters and advocates for the University but do not speak on behalf of the University or the Board unless designated by the Board Chair and/or the President to do so. This is not meant to stifle the right of freedom of speech of anyone speaking in a personal capacity where that person makes it clear by an express statement that she/he is not speaking for the University or the Board.

The Board's leaders and the University's President shall strive to ensure that the Board and its members are substantially engaged in strategic and other fiduciary matters concerning the University. In return for each University Regent’s best efforts to adhere to the expectations set out in this statement, our Board's leaders will exert their best efforts to help us, in turn, to use well our time as Regents and to find the intellectual stimulation and personal satisfaction that we expect from our Board service. By doing our best to understand and to be informed about the unique institution we hold in trust for posterity and by committing ourselves to the enterprise, we will leave our Board and Midwestern State University stronger, more vital, and even more consequential than they were when we entered their service.

ADOPTION / AMENDMENT HISTORY

Below is the history of the adoption and amendments of the Statement of Expectations of the Members of the Board of Regents:

Adoption:

1 Aug. 2019  Statement of Expectations of the Members of the Board of Regents was unanimously adopted by the Board of Regents (Minute Item 19-35).
RULES AND REGULATIONS
OF MIDWESTERN STATE UNIVERSITY

The Texas Legislature has delegated the organization, control, and management of Midwestern State University ("MSU" or "University") to the Board of Regents ("Board"). The Board is vested by law with the authority to promulgate rules and regulations and to provide the policy direction for the University in accordance with the laws of the State of Texas for the safety and welfare of students, employees, and property (buildings and grounds), and for the governance of the institution. See Texas Education Code Section 103.03; Section 51.202; and Section 51.352.

Rule- and regulation-making within the University is divided three ways: (1) The Bylaws of the Midwestern State University Board of Regents ("Bylaws"); (2) University policies and procedures ("UPPs") initiated by subordinate University authorities that become effective only upon approval by the Board of Regents; and (3) standard operating procedures ("SOPs") adopted by subordinate University authorities, under delegated legislative powers, that become effective as provided by such subordinate authorities and although subject to the ultimate authority of the Board, they are not approved by the Board. Texas court cases construing Texas Education Code Section 51.352 have held that the Board has wide discretion in exercising its power and authority and that the rules and regulations adopted by the Board have the same force as statutes.

The Bylaws of the Midwestern State University Board of Regents

Good governance begins with good governing documents, and the Bylaws are the starting point. They establish the rules by which the Board of Regents organizes itself. They are the vehicle by which the Board implements the authority delegated to it by the Texas Legislature and, in collaboration with the President and the administration, leads the University.

Preface
Article I: The University
Article II: The Board of Regents
Article III: Student Regent
Article IV: Board Meetings
Article V: Board Officers
Article VI: Board Committees
Article VII: University Executive Officers
Article VIII: Indemnification
Article IX: Miscellaneous Rules and Regulations
Article X: Amendments of Bylaws

Rules and Regulations of Midwestern State University
Last Revised _______, 2019
University Policies and Procedures (UPP)
At the next level below the Bylaws are University-wide policies and procedures that prescribe day-to-day operations that become effective only upon approval by the Board of Regents. UPPs must not conflict with the Bylaws, or requirements imposed by federal or state laws or implementing regulations.

Chapter 1: Organization and Governance of the University
   Introduction
   Board of Regents

Chapter 2: Academics / Faculty
   General
   Governance
   Employment
   Compensation / Benefits / Leave
   Grants / Research

Chapter 3: Administration
   General
   Institutional Equity
   Intercollegiate Athletics
   Risk Management / Campus Security / Environmental Health & Safety (EH&S)

Chapter 4: Advancement
   General
   Affiliated Entities

Chapter 5: Buildings and Grounds
   General
   Specific Buildings and/or Grounds

Chapter 6: Finance and Accounting
   General
   Fiscal Management
   Purchasing and Contract Management

Chapter 7: Human Resources / Personnel
   General
   Governance
   Employment
   Compensation / Benefits
   Leave
   Staff

Chapter 8: Information Technology
   General
   Standards Policies

Chapter 9: Intellectual Property

Chapter 10: Students
   General
   Employment
Standard Operating Procedures (SOP)

Standard operating procedures are established by academic or administrative units of the University to facilitate day-to-day business operations of and within a particular unit. SOPs are distinguished from UPPs because they do not directly or substantially affect procedural or substantive rights or duties of units or individuals outside the adopting unit. These procedures are adopted, amended, or repealed according to the procedures established by the particular unit and although subject to the ultimate authority of the Board, they are not approved by the Board.

SOPs may supplement but must not conflict with the Bylaws, UPPs, or requirements imposed by federal or state laws or implementing regulations. Although not required, the assistance of the University’s general counsel may be requested by the academic or administrative unit and/or its supervisory authority in drafting and revising SOPs to ensure conformity with the Bylaws, UPPs, and state and federal law/regulations. SOPs are not posted to the official Policy website, but are appropriately recorded and typically housed on the unit’s website and/or distributed within the unit as hard copies and filed with the Office of the Secretary of the University.
University Policies and Procedures (UPP)

Chapter 1: Organization and Governance of the University

Introduction
UPP 1-100: Foreword
UPP 1-105: History
UPP 1-110: Our Mission / Values
UPP 1-115: University Organization Chart

Board of Regents
UPP 1-200: Enabling Action
UPP 1-205: State Relationships
UPP 1-210: Board of Regents
UPP 1-215: Board of Regents’ Ethics Policy
UPP 1-220: Distinguished Service Award
UPP 1-221: Distinguished Achievement Award
UPP 1-225: Shared Governance [NEW]
UPP 1-230: Board of Regents’ Financial Authorization to President
UPP 1-235: Policy on Policies [NEW]

Chapter 2: Academics / Faculty

General
UPP 2-100: Faculty Personnel Records
UPP 2-105: Reporting SACSCOC Substantive Changes
UPP 2-110: Shortened-Format and Off-Campus Courses
UPP 2-115: Out-of-State or Foreign Courses for Credit
UPP 2-120: Art Acquisition Policy
UPP 2-125: Library Acquisition Policy
UPP 2-126: Library Area Users Procedure
UPP 2-127: Publications – State Depository Law

Governance
UPP 2-200: Faculty
UPP 2-205: Faculty Senate Purpose
UPP 2-210: Faculty Senate Constitution
UPP 2-215: Academic Freedom and Academic Responsibility
UPP 2-220: Faculty Tenure and Promotion Policy (2008)
UPP 2-225: Faculty Due Process
UPP 2-230: Faculty Grievance Procedure
UPP 2-235: Outside Employment of Faculty

Employment
UPP 2-300: Faculty Hiring Procedures
UPP 2-305: Written Terms of Employment for Faculty
UPP 2-310: Faculty Workload
UPP 2-315: Summer School Teaching
UPP 2-320: Office Hours for Faculty

Rules and Regulations of Midwestern State University

Last Revised _______, 2019
UPP 2-325: Faculty Performance Review
UPP 2-330: Regents’ Professor
UPP 2-335: Titled Professorships
UPP 2-340: Graduate Faculty Requirements and Procedures
UPP 2-345: Administrators with Faculty Appointment
UPP 2-350: Adjunct Faculty
UPP 2-355: Academic Lecturers
UPP 2-360: Graduate Assistants and Graduate Teaching Assistants
UPP 2-365: Resignation of Faculty
UPP 2-370: Financial Exigency and Consequent Dismissal of Tenured Faculty and/or Dismissal of Non-Tenured Faculty without Full Period of Notice
UPP 2-375: Dismissal of Tenured Faculty for Cause
UPP 2-380: Notice of Non-Reappointment of Non-Tenured Faculty

Compensation / Benefits / Leave
UPP 2-400: Faculty Compensation
UPP 2-405: Faculty Education Incentive Program
UPP 2-410: Faculty Sick Leave
UPP 2-415: Faculty Development Leave
UPP 2-420: Faculty Development Leave without Compensation
UPP 2-425: Absence from Duty – Faculty

Grants / Research
UPP 2-500: Grant Procurement Policies and Procedures
UPP 2-505: Faculty Research
UPP 2-510: Protection of Human Subjects in Research [TO BE REVISED]
UPP 2-515 Protection of Animals in Research [NEW]

Chapter 3: Administration
General
UPP 3-100: Administration Selection Process
UPP 3-101: Hiring of Academic Administrators with or without Faculty Tenure
UPP 3-105: Purpose and Responsibilities - President
UPP 3-106: President’s Office
UPP 3-107: Faculty-Staff Meetings
UPP 3-110: Purpose and Responsibilities of Provost and Vice President for Academic Affairs
UPP 3-111: Organization – Provost Vice President for Academic Affairs
UPP 3-112: Appointment, Compensation and Evaluation of Deans
UPP 3-115: Administration and Finance – Purpose and Responsibilities
UPP 3-120: Vice President for University Advancement and Public Affairs
UPP 3-125: Vice President for Student Affairs [TO BE REVISED]
UPP 3-130: Vice President for Enrollment Management [NEW]
UPP 3-135: Records Management and Retention [TO BE REVISED and include Litigation Hold]
UPP 3-140: Open Records and Public Disclosure of Information
UPP 3-141: Public Records Charges
UPP 3-142: Medical and Mental Health Service Areas Rules for Media Representatives and Public Access
UPP 3-145: Social Media Policy [NEW]
UPP 3-150: Electronic and Digital Signatures [NEW]
UPP 3-155: Postal Services
UPP 3-160: Off-Campus Speakers [formerly 4.148; TO BE REVISED AS Expressive Activities on Campus]

Institutional Equity
UPP 3-200: Equal Opportunity and Affirmative Action Policy Statement
UPP 3-201: Sex Discrimination and Sexual Harassment [formerly 4.161; TO BE REVISED AS Sexual Misconduct and Interpersonal Violence Handbook Governing Students and Employees]
UPP 3-202: Racial Harassment Policy
UPP 3-205: Americans with Disabilities Act
UPP 3-206: Closed Captioning [NEW]
UPP 3-207: Disability Grievance Procedures
UPP 3-210: Consensual Relationships

Intercollegiate Athletics
UPP 3-300: Intercollegiate Athletics
UPP 3-305: Recruitment of Student Athletes by Institutional Representatives
UPP 3-310: Athlete Agents

Risk Management / Campus Security / Environmental Health & Safety (EH&S)

Risk Management
UPP 3-400: Institutional Compliance and Ethics Program

Campus Security
UPP 3-405: Police Department Administration and Regulatory Ordinances
UPP 3-406: Police Officers at Special Campus Functions
UPP 3-407: Lost and Found
UPP 3-410: Youth Protection Program [NEW - formerly 4.129 (Protection of Minor Children on Campus and 4.169 (Summer Camps and Conferences)]
Youth Protection Program Guidebook [NEW]
UPP 3-415: Crisis Intervention
UPP 3-420: Reporting Incidents of Abuse and Neglect of Child, Elder, or Disabled Person [NEW]
UPP 3-425: Carrying Concealed Handguns on Campus
UPP 3-430: Suspected Dishonest or Fraudulent Activities
UPP 3-435: Identity Theft Prevention Program

Environmental Health & Safety (EH&S)
UPP 3-435: Safety Policy and Procedures
Campus Safety Handbook [NEW]
UPP 3-440: Disaster Policy
UPP 3-445: Closing of MSU Due to Extreme Weather Conditions
UPP 3-450: Drug Free Schools and Campuses Drug Prevention Program
UPP 3-455: Environmental Safety--Asbestos Containing Material
UPP 3-460: Acquired Immune Deficiency Syndrome and Human Immunodeficiency Virus (AIDS / HIV) Infection
UPP 3-465: Public Access Defibrillation Program

Rules and Regulations of Midwestern State University
Last Revised ______ , 2019
Chapter 4: Advancement

General

- UPP 4-100: Gifts and Donations
- UPP 4-105: Honorific and Gift-Related Namings
- UPP 4-110: Corporate Co-Sponsorship of University Event
- UPP 4-115: Memorials to Deceased Faculty and Staff
- UPP 4-120: Donor Services and Scholarships
  - Donor Services and Scholarships

Affiliated Entities

- UPP 4-200: Relationships with Affiliated Entities
- UPP 4-205: MSU Foundation
  - MSU Foundation
- UPP 4-210: MSU Charitable Trust
  - MSU Charitable Trust
- UPP 4-215: MSU Credit Union
  - MSU Credit Union

Chapter 5: Buildings and Grounds

General

- UPP 5-100: Space Management and Construction Project Review
- UPP 5-105: Building Use Policy - General University
- UPP 5-110: Key Authorization
- UPP 5-115: University Calendar [for building use]
- UPP 5-120: Display Policy
- UPP 5-125: Solicitation by Salespersons or Vendors
- UPP 5-130: Posters, Handbills, and other Printed Materials
- UPP 5-131: Ticket Sales
- UPP 5-135: Animals on Campus [NEW]
- UPP 5-140: Alcoholic Beverages
- UPP 5-141: Use of Tobacco Products

Specific Buildings and/or Grounds

- UPP 5-200: Wichita Falls Museum of Art at Midwestern State University:
  - Wichita Falls Museum of Art at Midwestern State University
- UPP 5-205: Dalquest Desert Research Station:
  - Dalquest Desert Research Station
- UPP 5-210: MSU - Flower Mound
  - MSU – Flower Mound
- UPP 5-215: Don Flatt Gymnasium [formerly 4.136]
- UPP 5-220: Tennis Courts [formerly 4.166]

Chapter 6: Finance and Accounting

General

Fiscal Management

Rules and Regulations of Midwestern State University

Last Revised ______ _, 2019
UPP 6-200: MSU Handbook of Fiscal Regulations and Procedures
UPP 6-205: Fund Accounting
UPP 6-210: Investment Policy -- Endowment Funds
UPP 6-215: Investment Policy -- Operating Funds
UPP 6-220: Use of University Funds for Business Entertainment Expenses
UPP 6-225: Off-Campus Bank Accounts

Purchasing
UPP 6-300: Purchasing
  MSU Purchasing Manual
  Procurement Card Guide
UPP 6-305: Purchasing -- Minority and Female-Owned Businesses
UPP 6-310: Disposition of Surplus or Salvage Property

Contract Management
UPP 6-400: Approval and Execution of University Contracts
  MSU Contract Management Handbook

Chapter 7: Human Resources / Personnel

General
UPP 7-100: Personnel Records
UPP 7-101: Campus Card
UPP 7-105: Work Break
UPP 7-110: University Issued Credit Cards
UPP 7-115: Telephone
UPP 7-116: Mobile Communication Devices
UPP 7-120: Dependent Children Policy
UPP 7-125: Membership Dues and Registration Fees
UPP 7-130: Vehicle Use Policy
UPP 7-135: Vehicle Operator’s License Requirement
UPP 7-140: Service Pin Awards
UPP 7-145: Academic Emeritus Status – Faculty and Administration

Governance
UPP 7-200: Ethics Policy for Employees of Midwestern State University
UPP 7-205: Nepotism: Full-Time Employees
UPP 7-210: Nepotism: Part-Time Employees
UPP 7-215: Criminal Background Checks – Employees and Volunteers [TO BE REVISED]
UPP 7-220: Drug and Alcohol Free Workplace
UPP 7-225: Dual Employment with the State
UPP 7-230: Conflict of Interest, Conflict of Commitment, and Outside Employment and Activities
UPP 7-235: Use of University Materials and Equipment
UPP 7-240: Witness Fees
UPP 7-245: Demonstrations and Unlawful Assembly of Employees
UPP 7-250: Endorsements Involving University Name or Facilities
UPP 7-255: Employee Workplace Bullying
UPP 7-260: Whistle Blowing

Rules and Regulations of Midwestern State University

Last Revised 01/01/2019
UPP 7-265: Consultants
UPP 7-270: Political and Legislative Influence Prohibited

Employment
UPP 7-300: General Conditions of Employment
UPP 7-305: Employment of Foreign Nationals
UPP 7-310: Return to Work Policy

Compensation / Benefits
UPP 7-400: Overtime Policy
UPP 7-405: Longevity Pay
UPP 7-410: Travel
UPP 7-415: Holidays
UPP 7-420: Employee Insurance
UPP 7-425: Workers’ Compensation
UPP 7-430: Social Security
UPP 7-440: Tax-Sheltered Annuities
UPP 7-445: Worksite Wellness Program
UPP 7-450: Admission to Events and Activities
UPP 7-455: Audit of Courses
UPP 7-460: Dependent Educational Assistance Program
UPP 7-465: Retirement: Faculty and Staff
UPP 7-470: Retirement Programs

Leave
UPP 7-500: Employee Leave Policies
UPP 7-510: Sick Leave Pooling
UPP 7-515: Family and Medical Leave
UPP 7-520: Jury Duty

Staff
UPP 7-600: Staff
UPP 7-605: Staff Senate Purpose and Constitution
UPP 7-610: Staff Hiring Procedures
UPP 7-615: Full-Time / Half-Time Employment
UPP 7-620: Non-Academic Employee Office Hours (Employees on the 40-Hour Week)
UPP 7-625: Attendance – Staff Absenteeism and Tardiness
UPP 7-630: Staff Performance Rating
UPP 7-635: Compensation for Non-Classified Staff Employees
UPP 7-640: Staff Employee Education Incentive Program
UPP 7-645: Staff Employee Disciplinary Procedures
UPP 7-650: Staff Termination / Discharge
UPP 7-655: Grievance Procedures for Non-Teaching Employees
UPP 7-660: Staff Emeritus Status
UPP 7-665: Staff Personnel Records

Chapter 8: Information Technology

Rules and Regulations of Midwestern State University

Last Revised _______, 2019
UPP 8-115: Web Accessibility Policy

Standards Policies
UPP 8-200: Information Technology Policy and Procedures
UPP 8-205: Information Resources Use and Security Policy Agreement
Information Security Handbook:
Information Security Handbook

Data Classification Tables
Data Classification Tables
UPP 8-210: General Data Protection Regulation (GDPR) Policy [NEW]
GDPR Privacy Notice:
GDPR Privacy Notice

Chapter 9: Intellectual Property
UPP 9-100: Intellectual Property Rights General Statement
UPP 9-105: Intellectual Property Rights – Distance Education

Chapter 10: Students
General
UPP 10-105: Texas Public Education Grant Program Eligibility Requirements
UPP 10-110: Tuition Set Aside Program Eligibility Requirements
UPP 10-115: Emergency Tuition and Fee Loan Eligibility Requirements
UPP 10-120: Student Records Policies and Procedures formerly
UPP 10-121: Sale of Student General Information to Off-Campus Organizations and Businesses
UPP 10-125: Medical Care
UPP 10-130: Student Publication Policy
UPP 10-135: MSU2 Policy Statement
UPP 10-140: Student Travel Policy
UPP 10-145: Lockers

Employment
UPP 10-200: Student Employment [formerly 3.330]
MSU Policies and Procedures [Index of 2019 Numbering Revisions]
New Policy Numbers / Old Policy Numbers

University Policies and Procedures (UPP)

Chapter 1: Organization and Governance of the University

Introduction
UPP 1-100: Foreword [formerly 1.1]
UPP 1-105: History [formerly 1.2]
UPP 1-110: Our Mission / Values [formerly 1.3]
UPP 1-115: University Organization Chart [formerly 2.11]

Board of Regents
UPP 1-200: Enabling Action [formerly 2.13]
UPP 1-205: State Relationships [formerly 2.12]
UPP 1-210: Board of Regents [formerly 2.21]
UPP 1-215: Board of Regents' Ethics Policy [formerly 2.25]
UPP 1-220: Distinguished Service Award [formerly 4.127]
UPP 1-221: Distinguished Achievement Award [formerly 4.128]
UPP 1-225: Shared Governance [NEW]
UPP 1-230: Board of Regents' Financial Authorization to President [formerly 2.23]
UPP 1-235: Policy on Policies [NEW]

Chapter 2: Academics / Faculty

General
UPP 2-100: Faculty Personnel Records [formerly 3.113]
UPP 2-105: Reporting SACSCOC Substantive Changes [formerly 4.195]
UPP 2-110: Shortened-Format and Off-Campus Courses [formerly 4.162]
UPP 2-115: Out-of-State or Foreign Courses for Credit [formerly 4.150]
UPP 2-120: Art Acquisition Policy [formerly 4.114]
UPP 2-125: Library Acquisition Policy [formerly 4.139]
UPP 2-126: Library Area Users Procedure [formerly 4.140]

Governance
UPP 2-200: Faculty [Categories] [formerly 3.111]
UPP 2-205: Faculty Senate Purpose [formerly 2.391]
UPP 2-210: Faculty Senate Constitution [formerly 2.392]
UPP 2-215: Academic Freedom and Academic Responsibility [formerly 3.118]
UPP 2-220: Faculty Tenure and Promotion Policy (2008) [formerly 3.120]
UPP 2-225: Faculty Tenure and Promotion Policy (2014) [formerly 3.120]
UPP 2-225: Faculty Due Process [formerly 3.125]
UPP 2-230: Faculty Grievance Procedure [formerly 3.143]
UPP 2-235: Outside Employment of Faculty [formerly 3.134]

Employment
UPP 2-300: Faculty Hiring Procedures [formerly 3.112]

Rules and Regulations of Midwestern State University

Last Revised _______, 2019
UPP 2-305: Written Terms of Employment for Faculty [formerly 3.115]
UPP 2-310: Faculty Workload (Teaching Load Policy) [formerly 3.127]
UPP 2-315: Summer School Teaching [formerly 3.133]
UPP 2-320: Office Hours for Faculty [formerly 3.144]
UPP 2-325: Faculty Performance Review [formerly 3.114]
UPP 2-330: Regents’ Professor [formerly 3.148]
UPP 2-335: Titled Professorships [formerly 3.130]
UPP 2-340: Graduate Faculty Requirements and Procedures [formerly 3.147]
UPP 2-345: Administrators with Faculty Appointment [formerly 3.128]
UPP 2-350: Adjunct Faculty [formerly 3.129]
UPP 2-355: Academic Lecturers [formerly 3.149]
UPP 2-360: Graduate Assistants and Graduate Teaching Assistants [formerly 3.131]
UPP 2-365: Resignation of Faculty [formerly 3.117]
UPP 2-370: Financial Exigency and Consequent Dismissal of Tenured Faculty and/or
Dismissal of Non-Tenured Faculty without Full Period of Notice [formerly 3.126]
UPP 2-375: Dismissal of Tenured Faculty for Cause [formerly 3.124]
UPP 2-380: Notice of Non-Reappointment of Non-Tenured Faculty [formerly 3.116]

**Compensation / Benefits / Leave**

UPP 2-400: Faculty Compensation [formerly 3.132]
UPP 2-405: Faculty Education Incentive Program [formerly 3.141]
UPP 2-410: Faculty Sick Leave [formerly 3.135]
UPP 2-415: Faculty Development Leave [formerly 3.136]
UPP 2-420: Faculty Development Leave without Compensation [formerly 3.137]
UPP 2-425: Absence from Duty – Faculty [formerly 3.138]

**Grants / Research**

UPP 2-500: Grant Procurement Policies and Procedures [formerly 4.135]
UPP 2-505: Faculty Research [formerly 3.142]
UPP 2-510: Protection of Human Subjects in Research [formerly 3.146] [TO BE REVISED]
UPP 2-515: Protection of Animals in Research [NEW]

**Chapter 3: Administration**

**General**

UPP 3-100: Administration Selection Process [formerly 2.31]
UPP 3-101: Hiring of Academic Administrators With or Without Faculty Tenure [formerly
2.335]
UPP 3-105: Purpose and Responsibilities - President [formerly 2.322]
UPP 3-106: President’s Office [formerly 2.323]
UPP 3-107: Faculty-Staff Meetings [formerly 2.38]
UPP 3-110: Purpose and Responsibilities of Provost and Vice President for Academic Affairs
[formerly 2.332]
UPP 3-111: Organization – Provost Vice President for Academic Affairs [formerly 2.333]
UPP 3-112: Appointment, Compensation and Evaluation of Deans [formerly 2.334]
UPP 3-115: Administration and Finance – Purpose and Responsibilities [formerly 2.336;
2.339]
UPP 3-120: Vice President for University Advancement and Public Affairs [formerly 2.337]
UPP 3-125: Vice President for Student Affairs [TO BE REVISED; formerly 2.340]

Rules and Regulations of Midwestern State University

Last Revised ______, 2019
UPP 3-130: Vice President for Enrollment Management [NEW; formerly 2.339; 2.340]
UPP 3-135: Records Management Policy [formerly 4.125; TO BE REVISED and include Litigation Hold]
UPP 3-140: Open Records and Public Disclosure of Information [formerly 4.149]
UPP 3-141: Public Records Charges [formerly 4.185]
UPP 3-142: Medical and Mental Health Service Areas Rules for Media Representatives and Public Access [formerly 4.186]
UPP 3-145: Social Media Policy [NEW]
UPP 3-150: Electronic and Digital Signatures [NEW]
UPP 3-155: Postal Services [formerly 4.155]
UPP 3-160: Off-Campus Speakers [formerly 4.148; TO BE REVISED AS Expressive Activities on Campus]

Institutional Equity
UPP 3-201: Sex Discrimination and Sexual Harassment [formerly 4.161; TO BE REVISED AS Sexual Misconduct and Interpersonal Violence Handbook Governing Students and Employees]
UPP 3-202: Racial Harassment Policy [formerly 4.171]
UPP 3-205: Americans with Disabilities Act [formerly 3.340]
UPP 3-206: Closed Captioning [NEW]
UPP 3-207: Disability Grievance Procedures [formerly 4.189]
UPP 3-210: Consensual Relationships [formerly 4.118]

Intercollegiate Athletics
UPP 3-300: Intercollegiate Athletics [formerly 2.324]
UPP 3-305: Recruitment of Student Athletes by Institutional Representatives [formerly 2.325]
UPP 3-310: Athlete Agents [formerly 2.326]

Risk Management / Campus Security / Environmental Health & Safety (EH&S)
  Risk Management
  UPP 3-400: Institutional Compliance and Ethics Program [formerly 2.26]
  Campus Security
  UPP 3-405: Police Department Administration and Regulatory Ordinances [formerly 4.152]
  UPP 3-406: Police Officers at Special Campus Functions [formerly 4.153]
  UPP 3-407: Lost and Found [formerly 4.142]
  UPP 3-410: Youth Protection Program [NEW - formerly 4.129 (Protection of Minor Children on Campus and 4.169 (Summer Camps and Conferences)]
    Youth Protection Program Guidebook [NEW]
  UPP 3-415: Crisis Intervention [formerly 4.122]
  UPP 3-420: Reporting Incidents of Abuse and Neglect of Child, Elder, or Disabled Person [NEW]
  UPP 3-425: Carrying Concealed Handguns on Campus [formerly 4.116]
  UPP 3-430: Suspected Dishonest or Fraudulent Activities [formerly 4.117]
  UPP 3-435: Identity Theft Prevention Program [formerly 4.132]

Environmental Health & Safety (EH&S)
UPP 3-435: Safety Policy and Procedures [formerly 4.159]
Campus Safety Handbook [NEW]
UPP 3-440: Disaster Policy [formerly 4.124]
UPP 3-445: Closing of MSU Due to Extreme Weather Conditions [formerly 4.119]
UPP 3-450: Drug Free Schools and Campuses Drug Prevention Program [formerly 4.176]
UPP 3-455: Environmental Safety--Asbestos Containing Material [formerly 4.113]
UPP 3-460: Acquired Immune Deficiency Syndrome and Human Immunodeficiency Virus (AIDS / HIV) Infection [formerly 4.177]
UPP 3-465: Public Access Defibrillation Program [formerly 4.194]
UPP 3-470: Chemical Safety [NEW]

Chapter 4: Advancement

General
UPP 4-100: Gifts and Donations [formerly 4.134]
UPP 4-105: Honorific and Gift-Related Namings [formerly 4.146]
UPP 4-110: Corporate Co-Sponsorship of University Event [formerly 4.120]
UPP 4-115: Memorials to Deceased Faculty and Staff [formerly 4.144]
UPP 4-120: Donor Services and Scholarships:
  Donor Services and Scholarships

Affiliated Entities
UPP 4-200: Relationships with Affiliated Entities [formerly 4.145]
UPP 4-205: MSU Foundation:
  MSU Foundation
UPP 4-210: MSU Charitable Trust:
  MSU Charitable Trust
UPP 4-215: MSU Credit Union:
  MSU Credit Union

Chapter 5: Buildings and Grounds

General
UPP 5-100: Space Management and Construction Project Review [formerly 4.183]
UPP 5-105: Building Use Policy - General University [formerly 4.115]
UPP 5-110: Key Authorization [formerly 4.138]
UPP 5-115: University Calendar [for building use] [formerly 4.168]
UPP 5-120: Display Policy [formerly 4.126]
UPP 5-125: Solicitation by Salespersons or Vendors [formerly 4.165]
UPP 5-130: Posters, Handbills, and other Printed Materials [formerly 4.156]
UPP 5-131: Ticket Sales [formerly 4.167]
UPP 5-135: Animals on Campus [NEW]
UPP 5-140: Alcoholic Beverages [formerly 4.112]
UPP 5-141: Use of Tobacco Products [formerly 4.163]

Specific Buildings and/or Grounds
UPP 5-200: Wichita Falls Museum of Art at Midwestern State University:
  Wichita Falls Museum of Art at Midwestern State University
UPP 5-205: Dalquest Desert Research Station:
  Dalquest Desert Research Station

Rules and Regulations of Midwestern State University
Last Revised ______ -, 2019
Chapter 6: Finance and Accounting

General

Fiscal Management

UPP 6-200: MSU Handbook of Fiscal Regulations and Procedures
UPP 6-205: Fund Accounting [formerly 4.175]
UPP 6-210: Investment Policy -- Endowment Funds [formerly 4.196]
UPP 6-215: Investment Policy -- Operating Funds [formerly 4.182]
UPP 6-220: Use of University Funds for Business Entertainment Expenses [formerly 4.133]
UPP 6-225: Off-Campus Bank Accounts [formerly 4.178]

Purchasing

UPP 6-300: Purchasing [formerly 4.158]
UPP 6-305: Purchasing -- Minority and Female-Owned Businesses [formerly 4.174]
UPP 6-310: Disposition of Surplus or Salvage Property [formerly 4.121]

Contract Management

UPP 6-400: Approval and Execution of University Contracts [formerly 2.24]

Chapter 7: Human Resources / Personnel

General

UPP 7-100: Personnel Records [formerly 3.326]
UPP 7-101: Campus Card [formerly 4.137]
UPP 7-105: Work Break [formerly 3.220]
UPP 7-110: University Issued Credit Cards [formerly 3.342]
UPP 7-115: Telephone [formerly 3.332]
UPP 7-116: Mobile Communication Devices [formerly 4.188]
UPP 7-120: Dependent Children Policy [formerly 4.123]
UPP 7-125: Membership Dues and Registration Fees [formerly 3.322]
UPP 7-130: Vehicle Use Policy [formerly 3.334]
UPP 7-135: Vehicle Operator’s License Requirement [formerly 3.313]
UPP 7-140: Service Pin Awards [formerly 3.338]
UPP 7-145: Academic Emeritus Status – Faculty and Administration [formerly 3.317]

Governance

UPP 7-200: Ethics Policy for Employees of Midwestern State University [formerly 3.314]
UPP 7-205: Nepotism: Full-Time Employees [formerly 3.323]
UPP 7-210: Nepotism: Part-Time Employees [formerly 3.324]
UPP 7-215: Criminal Background Checks – Employees and Volunteers [formerly 3.349; TO BE REVISED]

Rules and Regulations of Midwestern State University

Last Revised __________, 2019
UPP 7-220: Drug and Alcohol Free Workplace [formerly 3.316]
UPP 7-225: Dual Employment with the State [formerly 3.343]
UPP 7-230: Conflict of Interest, Conflict of Commitment, and Outside Employment and Activities [formerly 3.325]
UPP 7-235: Use of University Materials and Equipment [formerly 3.333]
UPP 7-240: Witness Fees [formerly 3.335]
UPP 7-245: Demonstrations and Unlawful Assembly of Employees [formerly 3.315]
UPP 7-250: Endorsements Involving University Name or Facilities [formerly 4.130]
UPP 7-255: Employee Workplace Bullying [formerly 3.351]
UPP 7-260: Whistle Blowing [formerly 3.344]
UPP 7-265: Consultants [formerly 4.179]
UPP 7-270: Political and Legislative Influence Prohibited [formerly 4.154]

Employment
UPP 7-300: General Conditions of Employment [formerly 3.319]
UPP 7-305: Employment of Foreign Nationals [formerly 3.348]
UPP 7-310: Return to Work Policy [formerly 3.345]

Compensation / Benefits
UPP 7-400: Overtime Policy [formerly 3.222]
UPP 7-405: Longevity Pay [formerly 3.225]
UPP 7-410: Travel [formerly 3.339]
UPP 7-415: Holidays [formerly 3.221]
UPP 7-420: Employee Insurance [formerly 3.321]
UPP 7-425: Workers’ Insurance [formerly 3.336]
UPP 7-430: Social Security [formerly 3.329]
UPP 7-440: Tax-Sheltered Annuities [formerly 3.331]
UPP 7-445: Worksite Wellness Program [formerly 3.350]
UPP 7-450: Admission to Events and Activities [formerly 4.111]
UPP 7-455: Audit of Courses [formerly 3.312]
UPP 7-460: Dependent Educational Assistance Program [formerly 3.347]
UPP 7-465: Retirement: Faculty and Staff [formerly 3.327]
UPP 7-470: Retirement Programs [formerly 3.328]

Leave
UPP 7-500: Employee Leave Policies [formerly 3.217]
UPP 7-510: Sick Leave Pooling [formerly 3.337]
UPP 7-515: Family and Medical Leave [formerly 3.341]
UPP 7-520: Jury Duty [formerly 3.320]

Staff
UPP 7-600: Staff [formerly 3.211]
UPP 7-605: Staff Senate Purpose and Constitution [formerly 2.393]
UPP 7-610: Staff Hiring Procedures [formerly 3.212]
UPP 7-615: Full-Time / Half-Time Employment [formerly 3.215]
UPP 7-620: Non-Academic Employee Office Hours (Employees on the 40-Hour Week) [formerly 3.219]
UPP 7-625: Attendance – Staff Absenteeism and Tardiness [formerly 3.224]
UPP 7-630: Staff Performance Rating [formerly 3.214]
Chapter 8: Information Technology

General
UPP 8-100: MSU Website Policy [formerly 4.192]
UPP 8-115: Web Accessibility Policy [formerly 4.151]

Standards Policies
UPP 8-200: Information Technology Policy and Procedures [formerly 4.181]
UPP 8-205: Information Resources Use and Security Policy Agreement [formerly 4.197]

Information Security Handbook:
Information Security Handbook
Data Classification Tables
Data Classification Tables

UPP 8-210: General Data Protection Regulation (GDPR) Policy [NEW]
GDPR Privacy Notice:
GDPR Privacy Notice

Chapter 9: Intellectual Property

UPP 9-100: Intellectual Property Rights General Statement [formerly 3.139]
UPP 9-105: Intellectual Property Rights – Distance Education [formerly 3.140]

Chapter 10: Students

General
UPP 10-105: Texas Public Education Grant Program Eligibility Requirements [formerly 4.172]
UPP 10-110: Tuition Set Aside Program Eligibility Requirements [formerly 4.193]
UPP 10-115: Emergency Tuition and Fee Loan Eligibility Requirements [formerly 4.173]
UPP 10-120: Student Records Policies and Procedures formerly [4.184]
UPP 10-121: Sale of Student General Information to Off-Campus Organizations and Businesses [formerly 4.180]
UPP 10-125: Medical Care [formerly 4.143]
UPP 10-130: Student Publication Policy [formerly 4.187]
UPP 10-135: MSU2 Policy Statement [formerly 4.190]
UPP 10-140: Student Travel Policy [formerly 4.191]
UPP 10-145: Lockers [formerly 4.141]

Employment
UPP 10-200: Student Employment [formerly 3.330]
<table>
<thead>
<tr>
<th>Old Policy #</th>
<th>New Policy #</th>
<th>Policy Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction</td>
<td>UPP 1-100</td>
<td>Foreword</td>
</tr>
<tr>
<td>1.1</td>
<td>UPP 1-105</td>
<td>History</td>
</tr>
<tr>
<td>1.3</td>
<td>UPP 1-110</td>
<td>Our Mission / Values</td>
</tr>
<tr>
<td>1.11</td>
<td>UPP 1-115</td>
<td>University Organization Chart</td>
</tr>
<tr>
<td>2.12</td>
<td>UPP 1-205</td>
<td>State Relationships</td>
</tr>
<tr>
<td>2.13</td>
<td>UPP 1-200</td>
<td>Enabling Action</td>
</tr>
<tr>
<td>2.21</td>
<td>UPP 1-210</td>
<td>Board of Regents</td>
</tr>
<tr>
<td>2.22</td>
<td>Stand-Alone (Top)</td>
<td>The Bylaws of the Midwestern State University Board of Regents</td>
</tr>
<tr>
<td>2.23</td>
<td>UPP 1-230</td>
<td>Board of Regents' Financial Authorization to President</td>
</tr>
<tr>
<td>2.24</td>
<td>UPP 6-400</td>
<td>Approval and Execution of University Contracts</td>
</tr>
<tr>
<td>2.25</td>
<td>UPP 1-215</td>
<td>Board of Regents' Ethics Policy</td>
</tr>
<tr>
<td>[NEW]</td>
<td>UPP 1-225</td>
<td>Shared Governance [NEW]</td>
</tr>
<tr>
<td>[NEW]</td>
<td>UPP 1-235</td>
<td>Policy on Policies [NEW]</td>
</tr>
<tr>
<td>2.26</td>
<td>UPP 3-400</td>
<td>Institutional Compliance and Ethics Program</td>
</tr>
<tr>
<td>2.31</td>
<td>UPP 3-100</td>
<td>Administration Selection Process</td>
</tr>
<tr>
<td>2.322</td>
<td>UPP 3-105</td>
<td>Purpose and Responsibilities - President</td>
</tr>
<tr>
<td>2.323</td>
<td>UPP 3-106</td>
<td>President’s Office</td>
</tr>
<tr>
<td>2.324</td>
<td>UPP 3-300</td>
<td>Intercollegiate Athletics</td>
</tr>
<tr>
<td>2.325</td>
<td>UPP 3-305</td>
<td>Recruitment of Student Athletes by Institutional Representatives</td>
</tr>
<tr>
<td>2.326</td>
<td>UPP 3-310</td>
<td>Athlete Agents</td>
</tr>
<tr>
<td>2.332</td>
<td>UPP 3-110</td>
<td>Purpose and Responsibilities of Provost and Vice President for Academic Affairs</td>
</tr>
<tr>
<td>2.333</td>
<td>UPP 3-111</td>
<td>Organization - Provost and Vice President for Academic Affairs</td>
</tr>
<tr>
<td>2.334</td>
<td>UPP 3-112</td>
<td>Appointment, Compensation and Evaluation of Deans</td>
</tr>
<tr>
<td>2.335</td>
<td>UPP 3-101</td>
<td>Hiring of Academic Administrators with or without Faculty Tenure</td>
</tr>
<tr>
<td>2.336</td>
<td>UPP 3-115</td>
<td>Administration and Finance - Purpose and Responsibilities</td>
</tr>
<tr>
<td>2.337</td>
<td>UPP 3-120</td>
<td>Vice President for University Advancement and Public Affairs</td>
</tr>
<tr>
<td>2.339</td>
<td>UPP 3-115; 3-130</td>
<td>Organization—Vice President for Administration and Institutional Effectiveness [Restructured]</td>
</tr>
<tr>
<td>2.340</td>
<td>UPP 3-125; 3-130</td>
<td>Organization—VP for Student Affairs and Enrollment Management [Restructured]</td>
</tr>
<tr>
<td>Policy Number</td>
<td>UPP Code</td>
<td>Title</td>
</tr>
<tr>
<td>--------------</td>
<td>----------</td>
<td>-------</td>
</tr>
<tr>
<td>[NEW] 2.38</td>
<td>UPP 3-107</td>
<td>Faculty-Staff Meetings</td>
</tr>
<tr>
<td>[NEW] 2.391</td>
<td>UPP 2-205</td>
<td>Faculty Senate Purpose</td>
</tr>
<tr>
<td>2.392</td>
<td>UPP 2-210</td>
<td>Faculty Senate Constitution</td>
</tr>
<tr>
<td>2.393</td>
<td>UPP 7-605</td>
<td>Staff Senate Purpose and Constitution</td>
</tr>
</tbody>
</table>

**Faculty Policies**

<table>
<thead>
<tr>
<th>Policy Number</th>
<th>UPP Code</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.111</td>
<td>UPP 2-200</td>
<td>Faculty [Categories]</td>
</tr>
<tr>
<td>3.112</td>
<td>UPP 2-300</td>
<td>Faculty Hiring Procedures</td>
</tr>
<tr>
<td>3.113</td>
<td>UPP 2-100</td>
<td>Faculty Personnel Records</td>
</tr>
<tr>
<td>3.114</td>
<td>UPP 2-325</td>
<td>Faculty Performance Review</td>
</tr>
<tr>
<td>3.115</td>
<td>UPP 2-305</td>
<td>Written Terms of Employment for Faculty</td>
</tr>
<tr>
<td>3.116</td>
<td>UPP 2-380</td>
<td>Notice of Non-Reappointment of Non-Tenured Faculty</td>
</tr>
<tr>
<td>3.117</td>
<td>UPP 2-365</td>
<td>Resignation of Faculty</td>
</tr>
<tr>
<td>3.118</td>
<td>UPP 2-215</td>
<td>Academic Freedom and Responsibility</td>
</tr>
<tr>
<td>3.120</td>
<td>UPP 2-220</td>
<td>Faculty Tenure and Promotion Policy (2008)</td>
</tr>
<tr>
<td>3.120</td>
<td>UPP 2-220</td>
<td>Faculty Tenure and Promotion Policy (2014)</td>
</tr>
<tr>
<td>3.124</td>
<td>UPP 2-375</td>
<td>Dismissal of Tenured Faculty for Cause</td>
</tr>
<tr>
<td>3.125</td>
<td>UPP 2-225</td>
<td>Faculty Due Process</td>
</tr>
<tr>
<td>3.126</td>
<td>UPP 2-370</td>
<td>Financial Exigency and Consequential Dismissal of Tenured Faculty and/or Dismissal of Non-Tenured Faculty without Full Period of Notice</td>
</tr>
<tr>
<td>3.127</td>
<td>UPP 2-310</td>
<td>Faculty Workload (Teaching Load Policy)</td>
</tr>
<tr>
<td>3.128</td>
<td>UPP 2-345</td>
<td>Administrators with Faculty Appointment</td>
</tr>
<tr>
<td>3.129</td>
<td>UPP 2-350</td>
<td>Adjunct Faculty</td>
</tr>
<tr>
<td>3.130</td>
<td>UPP 2-335</td>
<td>Titled Professorships</td>
</tr>
<tr>
<td>3.131</td>
<td>UPP 2-360</td>
<td>Graduate Assistants and Graduate Teaching Assistants</td>
</tr>
<tr>
<td>3.132</td>
<td>UPP 2-400</td>
<td>Faculty Compensation</td>
</tr>
<tr>
<td>3.133</td>
<td>UPP 2-315</td>
<td>Summer School Teaching</td>
</tr>
<tr>
<td>3.134</td>
<td>UPP 2-235</td>
<td>Outside Employment of Faculty</td>
</tr>
<tr>
<td>3.135</td>
<td>UPP 2-410</td>
<td>Faculty Sick Leave</td>
</tr>
<tr>
<td>3.136</td>
<td>UPP 2-415</td>
<td>Faculty Development Leave</td>
</tr>
<tr>
<td>3.137</td>
<td>UPP 2-420</td>
<td>Faculty Development Leave Without Compensation</td>
</tr>
<tr>
<td>3.138</td>
<td>UPP 2-425</td>
<td>Faculty Absence from Duty</td>
</tr>
<tr>
<td>3.139</td>
<td>UPP 9-100</td>
<td>Intellectual Property Rights General Statement</td>
</tr>
<tr>
<td>3.140</td>
<td>UPP 9-405</td>
<td>Intellectual Property Rights - Distance Education</td>
</tr>
<tr>
<td>3.141</td>
<td>UPP 2-505</td>
<td>Faculty Education Incentive Program</td>
</tr>
<tr>
<td>3.142</td>
<td>UPP 2-505</td>
<td>Faculty Research</td>
</tr>
<tr>
<td>3.143</td>
<td>UPP 2-230</td>
<td>Faculty Grievance Procedure</td>
</tr>
<tr>
<td>3.144</td>
<td>UPP 2-320</td>
<td>Office Hours for Faculty</td>
</tr>
<tr>
<td>3.145</td>
<td>xxx</td>
<td>No Policy</td>
</tr>
<tr>
<td>3.146</td>
<td>UPP 2-510</td>
<td>Protection of Human Subjects in Research</td>
</tr>
<tr>
<td>3.147</td>
<td>UPP 2-340</td>
<td>Graduate Faculty Requirements and Procedures</td>
</tr>
<tr>
<td>3.148</td>
<td>UPP 2-330</td>
<td>Regents' Professor</td>
</tr>
<tr>
<td>3.149</td>
<td>UPP 2-355</td>
<td>Academic Lecturers</td>
</tr>
</tbody>
</table>

Rules and Regulations of Midwestern State University

Last Revised __________, 2019
### Staff Policies

<table>
<thead>
<tr>
<th>Section</th>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.211</td>
<td>UPP 7-600</td>
<td>Staff</td>
</tr>
<tr>
<td>3.212</td>
<td>UPP 7-610</td>
<td>Staff Hiring Procedures</td>
</tr>
<tr>
<td>3.213</td>
<td>UPP 7-665</td>
<td>Staff Personnel Records</td>
</tr>
<tr>
<td>3.214</td>
<td>UPP 7-630</td>
<td>Staff Performance Rating</td>
</tr>
<tr>
<td>3.215</td>
<td>UPP 7-615</td>
<td>Full-Time / Half-Time Employment</td>
</tr>
<tr>
<td>3.216</td>
<td>UPP 7-650</td>
<td>Staff Termination / Discharge</td>
</tr>
<tr>
<td>3.217</td>
<td>UPP 7-500</td>
<td>Employee Leave Policies</td>
</tr>
<tr>
<td>3.218</td>
<td>UPP 7-655</td>
<td>Grievance Procedures for Non-Teaching Employees</td>
</tr>
<tr>
<td>3.219</td>
<td>UPP 7-620</td>
<td>Non-Academic Employee Office Hours (Employees on the 40-Hour Week)</td>
</tr>
<tr>
<td>3.220</td>
<td>UPP 7-105</td>
<td>Work Break</td>
</tr>
<tr>
<td>3.221</td>
<td>UPP 7-415</td>
<td>Holidays</td>
</tr>
<tr>
<td>3.222</td>
<td>UPP 7-400</td>
<td>Overtime Policy</td>
</tr>
<tr>
<td>3.223</td>
<td>UPP 7-640</td>
<td>Staff Employee Education Incentive Program</td>
</tr>
<tr>
<td>3.224</td>
<td>UPP 7-625</td>
<td>Attendance - Staff Absenteeism and Tardiness</td>
</tr>
<tr>
<td>3.225</td>
<td>UPP 7-405</td>
<td>Longevity Pay</td>
</tr>
<tr>
<td>3.226</td>
<td>UPP 7-635</td>
<td>Compensation for Non-Classified Staff Employees</td>
</tr>
<tr>
<td>3.227</td>
<td>xxx</td>
<td>No Policy</td>
</tr>
<tr>
<td>3.228</td>
<td>UPP 7-645</td>
<td>Staff Employee Disciplinary Procedures</td>
</tr>
</tbody>
</table>

### Employee Policies

<table>
<thead>
<tr>
<th>Section</th>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.311</td>
<td>xxx</td>
<td>No Policy</td>
</tr>
<tr>
<td>3.312</td>
<td>UPP 7-455</td>
<td>Audit of Courses</td>
</tr>
<tr>
<td>3.313</td>
<td>UPP 7-135</td>
<td>Vehicle Operator's License Requirement</td>
</tr>
<tr>
<td>3.314</td>
<td>UPP 7-200</td>
<td>Ethics Policy for Employees of Midwestern State University</td>
</tr>
<tr>
<td>3.315</td>
<td>UPP 7-245</td>
<td>Demonstrations and Unlawful Assembly of Employees</td>
</tr>
<tr>
<td>3.316</td>
<td>UPP 7-220</td>
<td>Drug and Alcohol Free Workplace</td>
</tr>
<tr>
<td>3.317</td>
<td>UPP 7-145</td>
<td>Emeritus Status - Faculty and Administration</td>
</tr>
<tr>
<td>3.318</td>
<td>UPP 7-660</td>
<td>Staff Emeritus Status</td>
</tr>
<tr>
<td>3.319</td>
<td>UPP 7-300</td>
<td>General Conditions of Employment</td>
</tr>
<tr>
<td>3.320</td>
<td>UPP 7-520</td>
<td>Jury Duty</td>
</tr>
<tr>
<td>3.321</td>
<td>UPP 7-420</td>
<td>Employee Insurance</td>
</tr>
<tr>
<td>3.322</td>
<td>UPP 7-125</td>
<td>Membership Dues and Registration Fees</td>
</tr>
<tr>
<td>3.323</td>
<td>UPP 7-205</td>
<td>Nepotism: Full-Time Employees</td>
</tr>
<tr>
<td>3.324</td>
<td>UPP 7-210</td>
<td>Nepotism: Part-Time Employees</td>
</tr>
<tr>
<td>3.325</td>
<td>UPP 7-230</td>
<td>Conflict of Interest, Conflict of Commitment, and Outside Employment and Activities</td>
</tr>
<tr>
<td>3.326</td>
<td>UPP 7-100</td>
<td>Personnel Records</td>
</tr>
<tr>
<td>3.327</td>
<td>UPP 7-465</td>
<td>Retirement: Faculty and Staff</td>
</tr>
<tr>
<td>3.328</td>
<td>UPP 7-470</td>
<td>Retirement Programs</td>
</tr>
<tr>
<td>3.329</td>
<td>UPP 7-430</td>
<td>Social Security</td>
</tr>
<tr>
<td>3.330</td>
<td>UPP 10-200</td>
<td>Student Employment</td>
</tr>
<tr>
<td>3.331</td>
<td>UPP 7-440</td>
<td>Tax Sheltered Annuities</td>
</tr>
<tr>
<td>3.332</td>
<td>UPP 7-115</td>
<td>Telephone</td>
</tr>
</tbody>
</table>
3.333 UPP 7-235 Use of University Materials and Equipment
3.334 UPP 7-130 Vehicle Use Policy
3.335 UPP 7-240 Witness Fees
3.336 UPP 7-425 Workers’ Compensation
3.337 UPP 7-510 Sick Leave Pooling
3.338 UPP 7-140 Service Pin Awards
3.339 UPP 7-410 Travel
3.340 UPP 3-205 Americans with Disabilities
3.341 UPP 7-515 Family and Medical Leave
3.342 UPP 7-110 University Issued Credit Cards
3.343 UPP 7-225 Dual Employment with the State
3.344 UPP 7-260 Whistle Blowing
3.345 UPP 7-310 Return to Work Policy
3.346 xxx No Policy
3.347 UPP 7-460 Dependent Education Assistance Program
3.348 UPP 7-305 Employment of Foreign Nationals
3.349 UPP 7-215 Criminal Background Checks - Employees and Volunteers
3.350 UPP 7-445 Worksite Wellness Program
3.351 UPP 7-255 Employee Workplace Bullying

General University Policies
4.111 UPP 7-450 Admission to Events and Activities
4.112 UPP 5-140 Alcoholic Beverages
4.113 UPP 3-455 Environmental Safety--Asbestos Containing Material
4.114 UPP 2-120 Art Acquisition Policy
4.115 UPP 5-105 Building Use Policy - General University
4.116 UPP 3-425 Carrying Concealed Handguns on Campus
4.117 UPP 3-430 Suspected Dishonest or Fraudulent Activities
4.118 UPP 3-210 Consensual Relationships
4.119 UPP 3-445 Closing of MSU Due to Extreme Weather Conditions
4.120 UPP 4-110 Corporate Co-Sponsorship of University Event
4.121 UPP 6-310 Disposition of Surplus or Salvage Property
4.122 UPP 3-415 Crisis Intervention
4.123 UPP 7-120 Dependent Children Policy
4.124 UPP 3-440 Disaster Policy
4.125 UPP 3-135 Records Management Policy
4.126 UPP 5-120 Display Policy
4.127 UPP 1-220 Distinguished Service Award
4.128 UPP 1-221 Distinguished Achievement Award
4.129 UPP 3-410 Protection of Minor Children on Campus [TO BE REVISED AS Youth Protection Program]
4.130 UPP 7-250 Endorsements Involving University Name or Facilities
4.131 UPP 3-200 Equal Opportunity and Affirmative Action Policy Statement
4.132 UPP 3-435 Identity Theft Prevention Program
4.133 UPP 6-220 Use of University Funds for Business Entertainment Expenses
4.134 UPP 4-100 Gifts and Donations
4.135 UPP 2-500 Grant Procurement Policies and Procedures
4.136 UPP 5-215 Don Flatt Gymnasium
4.137 UPP 7-101 Campus Card
4.138 UPP 5-110 Key Authorization
4.139 UPP 2-125 Library Acquisition Policy
4.140 UPP 2-126 Library Area Users
4.141 UPP 10-145 Lockers
4.142 UPP 3-407 Lost & Found
4.143 UPP 10-125 Medical Care
4.144 UPP 4-115 Memorials to Deceased Faculty and Staff
4.145 UPP 4-200 Relationships with Affiliated Entities
4.146 UPP 4-105 Honorific and Gift-Related Namings
4.147 xxx No Policy
4.148 UPP 3-160 Off-Campus Speakers [TO BE REVISED AS Expressive Activities on Campus]
4.149 UPP 3-140 Open Records and Public Disclosure of Information
4.150 UPP 2-115 Out-of-State or Foreign Courses for Credit
4.151 UPP 8-115 Web Accessibility
4.152 UPP 3-405 Police Department Administration and Regulatory Ordinances
4.153 UPP 3-406 Police Officers at Special Campus Functions
4.154 UPP 7-270 Political and Legislative Influence Prohibited
4.155 UPP 3-155 Postal Services
4.156 UPP 5-130 Posters, Handbills, and other Printed Materials
4.157 UPP 2-127 Publications Depository Law, State
4.158 UPP 6-300 Purchasing
4.159 UPP 3-435 Safety Policy and Procedures
4.160 xxx No Policy
4.161 UPP 3-201 Sex Discrimination and Sexual Harassment [TO BE REVISED AS Sexual Misconduct and Interpersonal Violence Handbook Governing Students and Employees]
4.162 UPP 2-110 Shortened-Format and Off-Campus Courses
4.163 UPP 5-141 Use of Tobacco Products
4.165 UPP 5-125 Solicitation by Salespersons or Vendors
4.166 UPP 5-220 Tennis Courts
4.167 UPP 5-131 Ticket Sales
4.168 UPP 5-115 University Calendar
4.169 UPP 3-410 Summer Camps and Conferences [TO BE REVISED AS Youth Protection Program]
4.171 UPP 3-202 Racial Harassment Policy
4.172 UPP 10-105 Texas Public Education Grant Program Eligibility Requirements
4.173 UPP 10-115 Emergency Tuition and Fee Loan Eligibility Requirements
4.174 UPP 6-305 Purchasing -- Minority and Female-Owned Businesses
4.175 UPP 6-205 Fund Accounting
4.176 UPP 3-450 Drug Free Schools and Campuses Drug Prevention Program
4.177 UPP 3-460 Acquired Immune Deficiency Syndrome and Human Immunodeficiency Virus (AIDS/HIV) Infection
4.178 UPP 6-225 Off-Campus Bank Accounts
4.179 UPP 7-265 Consultants
4.180 UPP 10-121 Sale of Student General Information to Off-Campus Organizations and Businesses
4.181 UPP 8-200 Information Technology Policies & Procedures
4.182 UPP 6-215 Investment Policy -- Operating Funds
4.183 UPP 5-100 Space Management & Construction Project Review
4.184 UPP 10-120 Student Records Policies and Procedures
4.185 UPP 3-141 Public Records Charges
4.186 UPP 3-142 Medical and Mental Health Service Areas Rules for Media Representatives and Public Access
4.187 UPP 10-130 Student Publication Policy
4.188 UPP 7-116 Mobile Communication Devices
4.189 UPP 3-207 Disability Grievance Procedures
4.190 UPP 10-135 MSU2 Policy Statement
4.191 UPP 10-140 Student Travel Policy
4.192 UPP 8-100 MSU Website Policy
4.193 UPP 10-110 Tuition Set Aside Program Eligibility Requirements
4.194 UPP 3-465 Public Access Defibrillation Program
4.195 UPP 2-105 Reporting SACSCOC Substantive Changes
4.196 UPP 6-210 Investment Policy -- Endowment Funds
4.197 UPP 8-205 Use and Security Policy
I. Policy Statement

Midwestern State University ("MSU" or "University") recognizes the need for investigation in which human beings may serve as research subjects. Safeguarding Midwestern State University places a special importance on a faculty member's commitment to quality teaching, scholarship, and service to the university, the community, and the professions. As a part of the scholarship component, students, both graduate and undergraduate, are encouraged to engage, with their teachers, in research as part of their Midwestern State University experience. Research is therefore viewed as a means for both enhancing teaching and learning, and for growing and promoting Midwestern State University. Because faculty and students of the university may utilize human subjects from time to time in conducting research, safeguarding the rights and welfare of human subjects is of prime concern to MSU, and this policy provides guidance in complying with federal laws and regulations and University rules and regulations relating to research involving human subjects. All personnel engaged in any given study are accountable for any actions or inactions that might contribute to injury harm of any persons placed at risk. The University will maintain such reviews as necessary to minimize the risks of injury harm to human subjects and to ensure protection of their rights and welfare. The fundamental responsibilities outlined above are meant to suggest a preventive attitude with respect to potential injury harm to human subjects at risk. However, to better ensure that all human subjects are adequately protected, authority is delegated and responsibilities are fixed as indicated below.

II. Reason for Policy

The purpose of this policy is to allow for the protection of human subjects involved in research conducted by MSU faculty, staff, and students in a manner consistent with federal regulations as stated in Code of Federal Regulations (CFR) Title 45 Part 46 Protection of
Human Subjects (45 CFR 46; Revised January 15, 2009) or any other current or future federal regulation relating to the Protection of human subjects in Research. In conjunction with these federal regulations 45 CFR 46.107, MSU has established an Institutional Review Board (IRB).

III. Application of Policy

1. All research and scholarly activity conducted under the auspices of Midwestern State University that involves human subjects must be reviewed and approved by the IRB before the research begins and any data is collected. This includes survey research; research conducted by students, faculty, or staff, and both internally and externally funded research. No research involving human subjects shall be undertaken unless the IRB has reviewed and approved such activity. This review shall determine whether these subjects will be placed at risk and, if so, whether:
   a. The risks to the subject are so outweighed by the sum of the benefit to the subject and the importance of the knowledge to be gained as to warrant a decision to allow the subject to accept these risks;
   b. the rights and welfare of any such subjects will be adequately protected; and
   c. legally effective informed consent will be obtained by adequate and appropriate methods.

IV. Definitions

Human Subject(s) - Has reference to two definitions defined by federal agencies.
1. Department of Health and Human Services defines human subject as a living individual about whom the investigator conducting research:
   a. Obtains information or biospecimens through intervention or interaction with the individual and uses, studies, or analyzes the information or biospecimens; or
   b. Obtains, uses, studies, analyzes, or generates identifiable private information or identifiable biospecimens.
2. Food and Drug Administration (FDA) defines human subject as an individual who is or becomes a participant in research, either as a recipient of the test article or as a control. A subject may be either a healthy individual or a patient. When medical device research involves in vitro diagnostics and unidentified tissue specimens, the FDA defines the unidentified tissue specimens as human subjects.

Informed Consent - Means the knowing consent of an individual or her/his legally authorized representative, so situated as to be able to exercise free power of choice without undue inducement or any element of force, fraud, deceit, duress, or other form of constraint or coercion.

Institutional Review Board (IRB) – Means an administrative body established by the University to protect the rights and welfare of human research subjects recruited to participate in research activities conducted under the auspices of the University.

Investigator - Is considered to be an individual performing various tasks related to the conduct of human subjects research activities such as:
1. Obtaining information about living individuals by intervening or interacting with them for research purposes.
2. Obtaining identifiable private information about living individuals for research purposes.
3. Obtaining voluntary informed consent of individuals to be subjects in research.
4. Studying, interpreting or analyzing identifiable private information or data for research purposes.

Noncompliance - Means that researchers or individuals other than researchers, such as research staff, Institutional Review Board (IRB) staff, or IRB members, did not adhere to federal regulations and/or MSU rules, regulations, policies, procedures, requirements, or IRB determinations for conducting research involving human subjects.

Research - As defined by the Department of Health and Human Services (DHHS) means a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge (45 CFR 46.102(d)). Research is considered synonymous with Clinical Investigation as defined by the FDA. The following activities are not considered research by DHHS:

• Scholarly and journalistic activities (e.g., oral history, journalism, biography, literary criticism, legal research, and historical scholarship), including the collection and use of information, that focus directly on the specific individuals about whom the information is collected.
• Public health surveillance activities, including the collection and testing of information or biospecimens, conducted, supported, requested, ordered, required, or authorized by a public health authority. Such activities are limited to those necessary to allow a public health authority to identify, monitor, assess, or investigate potential public health signals, onsets of disease outbreaks, or conditions of public health importance.
• Collection and analysis of information, biospecimens, or records by or for a criminal justice agency for activities authorized by law or court order solely for criminal justice or criminal investigative purposes.
• Authorized operational activities (as determined by each agency) in support of intelligence, homeland security, defense, or other national security missions.

V. Procedures and Responsibilities

A. Policy Review
1. This policy will be reviewed no later than February 1 of each odd-numbered year by the Chair of the IRB and the Provost and Vice President for Academic Affairs, with recommendations for revision presented to the President no later than March 1.

B. Institutional Review Board (IRB)
1. Institutional Review Board Composition and Appointment Committee
   Make-up and Appointment
   Federal Requirements
   The IRB, in compliance with federal regulation 45 CFR 46.107, shall have at least five (5) members with varying backgrounds to promote complete and adequate review of research activities commonly conducted by Midwestern State University. The IRB shall be sufficiently qualified.
through the experience and expertise of its members, and the diversity of the members, including consideration of race, gender, and cultural backgrounds and sensitivity to such issues as community attitudes, to promote respect for its advice and counsel in safeguarding the rights and welfare of human subjects. The committee shall be able to ascertain the acceptability of proposed research in terms of institutional commitments and regulations, applicable law, and standards of professional conduct and practice. The committee shall, therefore, include persons knowledgeable in these areas. If the committee regularly reviews research that involves a vulnerable category of subjects, it shall include one or more individuals who are primarily concerned with the welfare of these subjects. The committee's make-up must also take the following factors into consideration.

1. The committee may not consist entirely of men or entirely of women, or entirely of members of one profession.
2. The committee shall include at least one member whose primary concerns are in nonscientific areas.
3. The committee shall have at least one member who is not otherwise affiliated with the institution and who is not part of the immediate family of a person who is affiliated with the institution.
4. The committee may not have a member participating in its initial or continuing review of any project in which the member has a conflicting interest, except to provide information requested by the committee.
5. The committee may, in its discretion, invite individuals with competence in special areas to assist in the review of complex issues that require expertise beyond or in addition to that available on the committee. These individuals may not vote with the committee.

Midwestern State University’s Specifications

a. Membership of Midwestern State University's IRB will include:
   At least six (6) faculty members (one from each of the six colleges) from Midwestern State University and a Chairperson.

   a. Members of the committee IRB will be appointed by the Provost and Vice President for Academic Affairs from a list of candidates from each of the six colleges as recommended by the dean of each college in accordance with requirements for composition and qualifications for membership set forth in 45 CFR 46.107. At least one faculty member from each of the six academic colleges at MSU will be appointed, plus a chairperson. Colleges that routinely conduct research with human participants and generate a higher consistently generate a high volume of IRB applications may request that that the Provost and Vice President for Academic Affairs appoint a second faculty member from that the college be appointed to the committee. Members are appointed for two-year terms.

b. The IRB chairperson will be selected from IRB members with at least one year of experience serving on the board and appointed by the Provost and Vice President for Academic Affairs. Another faculty member from the chairperson’s college will be appointed to replace the chairperson as the
college representative to the IRB.

c. Members will complete the training described in Section 4.3 (Training) below prior to serving.

2. Review

a. The IRB will review research and other scholarly activity proposals in regard to the protection of human subjects in research. The IRB has the ability to approve, tentatively approve pending receipt of additional information, or disapprove the proposed research or scholarly activity.

b. Research or scholarly activity protocols involving the use of human subjects must provide evidence of the following:

   (1) Risks are minimized through procedures consistent with sound research design (reasonable risk beyond those incurred in daily life must be outweighed by benefits to the subjects).

   (2) Selection of subjects is equitable and the setting appropriate.

   (3) Informed consent is in accordance with state and federal regulations.

   (4) Consent is documented unless waivers of documentation are allowable in accordance with 45 CFR 46.

   (5) Continued monitoring takes place to ensure the safety of the subjects.

   (6) Privacy and confidentiality are maintained consistent with MSU’s obligation under the Texas Public Information Act.

c. Participation of human subjects must be voluntary and the information provided to gain subject consent must be adequate and appropriate. The Provost and Vice President for Academic Affairs may require additional safeguards be taken to protect the rights and welfare of vulnerable populations.


1. The federal code defines research as: a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge.

3. The federal code defines a human subject as: a living individual about whom an investigator conducting research obtains data through intervention or interaction with the individual or identifiable private information.

4. The IRB policies and procedures apply to all research involving human participants performed by Midwestern State University faculty, students, or staff under University auspices, whether carried out solely with University resources or with assistance of outside funds. Research is considered to be under University auspices if it involves one or more of the following:

   a. The research is sponsored by the University.
b. The research is conducted by, or under the direction of, any employee or agent of the University in connection with his or her employment with the institution, including the use of institutional letterhead.

e. The research is conducted by, or under the direction of, any employee or agent of the University using any property or facility of the institution.

d. The research involves the use of this institution’s non-public information to identify or contact human research participants or prospective participants.

5. Student research that involves human participants and is intended to result in generalizable knowledge must also be submitted for review. For example, any student research intended for publication or dissemination such as presentation outside of the classroom, i.e. at a conference, must be reviewed. Student research involving human subjects must be supervised by a Midwestern State University faculty advisor who will assume responsibility for ensuring that all research procedures comply with all federal, state, and university policies designed to protect human subjects.

6. Instructors who routinely implement class projects which are not meant to result in publication nor wide dissemination, and involve no greater than minimal risk, do not need to have these protocols reviewed by the IRB. However, if the instructor believes that one or more of the projects may result in publication or wide dissemination, a blanket IRB approval may be requested for the class as a whole.

E. Criteria for Categorization of Research

The IRB has incorporated into this policy the federal regulation’s designations of "Research Exempt from Review" and "Research Suitable for Expedited Review." The category of "Research Subject to Full Committee Review" remains for research not suited to Exempt or Expedited Review. Information on the circumstances that qualify a research study for a particular review category is listed in the Code of Federal Regulations, Title 45, sections 46.101.2(b) and 46.110. The following criteria describe research to be considered in each of these categories.

1. Research Exempt from Review

The primary investigator and the department chair, in consultation with the IRB, are responsible for determining whether a research project falls within one of the following exempted categories:

a. The research will be conducted only in established or commonly accepted educational settings (like classrooms) and it involves normal educational practices such as research on regular and special education instructional strategies, or research on the effectiveness of, or the comparison among instructional techniques, curricula, or classroom management methods.

b. The research will be conducted using only questionnaire or interview survey methods and the subjects are elected or appointed public officials or candidates for public office.
c. The research is limited to the collection and study of data, documents, records, pathological or diagnostic specimens that are available to the public.

d. The research is limited to the collection and study of data obtained using only the following techniques and the data or information obtained will be recorded in such a manner that subjects cannot be identified, directly or indirectly, through identifiers linked with the subjects:

   (1) The data will be obtained through the use of educational tests (cognitive, diagnostic, aptitude, achievement, etc.); or

   (2) The data will be obtained by observing the public behavior of subjects; or

   (3) The data will be obtained using survey or interview procedures; or

   (4) The data will be obtained from existing documents, records, and pathological or diagnostic specimens.

e. The research is limited to the collection and study of data obtained by:

   (1) Observing the public behavior of the participants; or using survey or interview procedures.

   (2) The information collected about the subjects' behavior does not involve sensitive subjects such as illegal or immoral conduct, drug or alcohol abuse, sexual behavior, mental illness, or other possible personally embarrassing subjects;

   (3) The information collected about subjects, if it became known to outsiders, could not reasonably be expected to place the subject at risk of civil or criminal liability, or be damaging to the subjects' social or financial standing or employability.

2. Examples of Research Suitable for Expedited Review

Most of the research projects that fall into this category of research have minimal or no risk for the subjects. Research suited for expedited review includes but is not limited to:

a. Clinical studies of drugs and medical devices only when condition (1) or (2) is met.

   (1) Research on drugs for which an investigational new drug application (21 CFR Part 312) is not required. (Note: Research on marketed drugs that significantly increases the risks or decreases the acceptability of the risks associated with the use of the product is not eligible for expedited review.)

   (2) Research on medical devices for which (i) an investigational device exemption application (21 CFR Part 812) is not required; or (ii) the medical device is cleared/approved for marketing and the medical device is being used in accordance with its cleared/approved labeling.

b. Collection of blood samples by finger-stick, heel-stick, ear-stick, or venipuncture as follows:
(1) from healthy, nonpregnant adults who weigh at least 110 pounds. For these subjects, the amounts drawn may not exceed 550 ml in an 8-week period and collection may not occur more frequently than 2 times per week; or

(2) from other adults and children, considering the age, weight, and health of the subjects, the collection procedure, the amount of blood to be collected, and the frequency with which it will be collected. For these subjects, the amount drawn may not exceed the lesser of 50 ml or 3 ml per kg in an 8-week period and collection may not occur more frequently than 2 times per week.

e. Prospective collection of biological specimens for research purposes by noninvasive means. Examples: (a) hair and nail clippings in a nondisfiguring manner; (b) deciduous teeth at time of exfoliation or if routine patient care indicates a need for extraction; (c) permanent teeth if routine patient care indicates a need for extraction; (d) excreta and external secretions (including sweat); (e) uncannulated saliva collected either in an unstimulated fashion or stimulated by chewing gumbase or wax or by applying a dilute citric solution to the tongue; (f) placenta removed at delivery; (g) amniotic fluid obtained at the time of rupture of the membrane prior to or during labor; (h) supra- and subgingival dental plaque and calculus, provided the collection procedure is not more invasive than routine prophylactic scaling of the teeth and the process is accomplished in accordance with accepted prophylactic techniques; (i) mucosal and skin cells collected by buccal scraping or swab, skin swab, or mouth washings; (j) sputum collected after saline mist nebulization.

d. Collection of data through noninvasive procedures (not involving general anesthesia or sedation) routinely employed in clinical practice excluding procedures involving x-rays or microwaves. Where medical devices are employed, they must be cleared/approved for marketing. (Studies intended to evaluate the safety and effectiveness of the medical device are not generally eligible for expedited review, including studies of cleared medical devices for new indications.) Examples: (a) physical sensors that are applied either to the surface of the body or at a distance and do not involve input of significant amounts of energy into the subject or an invasion of the subject’s privacy; (b) weighing or testing sensory acuity; (c) magnetic resonance imaging; (d) electrocardiography, electroencephalography, thermography, detection of naturally occurring radioactivity, electroretinography, ultrasound, infrared imaging, doppler blood flow, and echocardiography; (e) moderate exercise, muscular strength testing, body composition assessment, and flexibility testing where appropriate given the age, weight, and health of the individual.

e. Research involving materials (data, documents, records, or specimens) that have been collected, or will be collected solely for nonresearch purposes.
(such as medical treatment or diagnosis). (NOTE: Some research in this category may be exempt. This listing refers only to research that is not exempt.)
f. Collection of data from voice, video, digital, or image recordings made for research purposes.
g. Research on individual or group characteristics or behavior including, but not limited to, research on perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, and social behavior or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies. (NOTE: Some research in this category may be exempt. This listing refers only to research that is not exempt.)

3. Informed Consent

a. No human subject research (including research deemed exempt from continuing IRB review) may be conducted without informing the human subject or the legally authorized representative of the risks, procedures, and discomforts of the research. Subjects should be clearly informed that their participation is voluntary. When appropriate, a statement illustrating the voluntary nature of the project should be included on written questionnaires. When research involves the use of minor participants, consent must be obtained from a parent or legal guardian. In addition, the minor participants over the age of 6 must provide their assent to participate, using a form appropriate for their age level.

b. Voluntary informed consent assures a person’s right to exercise free power of choice regarding participation in research. The basic elements of information necessary for voluntary informed consent are:
   (1) a clear, responsible explanation of procedures and purpose in language appropriate for the subject group (with experimental procedures specifically identified);
   (2) a description of expected risks or discomforts;
   (3) a description of expected benefits;
   (4) a disclosure of alternative procedures available;
   (5) an offer to answer any questions raised by a subject regarding procedure, concerns, complaints, etc;
   (6) freedom to withdraw/discontinue participation at any time, especially when the subjects are students enrolled in a class; (Discontinuing participation will be without penalty and without loss of benefits which the subject is otherwise due);
   (7) appropriate contact information for the researcher;
   (8) maintenance of anonymity of subjects;
   (9) maintenance of the confidentiality of subjects; and
(10) an explanation that any concerns regarding rights of the research subject should be directed to the chairperson of the IRB.

4. Protocol Submission and Processing for Review

a. Investigators must submit, at minimum, the following items for review as part of a standard protocol submission:

(1) application for Use of Human Subjects in Research protocol form;
(2) advertisement/recruitment materials that will be used to solicit participation in the study;
(3) informed Consent documents reflecting the exact language that will be used to obtain participant consent. (See IRB website for guidance on informed consent issues.);
(4) printed materials used for data collection (such as survey instruments or measures); and
(5) any relevant grant applications tied to the protocol request.

b. To facilitate the transfer of proposals, investigators are required to consolidate all of their material into one electronic file (completed application, any recruitment materials, consent form, and instruments such as interview questions, surveys, tests, experimental manipulations, etc.)

c. The College IRB representative serves as the intake-point for protocol submission, and forwards protocols to the IRB Chairperson for review. The IRB will review the protocol to confirm the research is exempt, eligible for expedited review, or subject to full board review.

d. The Chair of the IRB, upon receipt, will record the application and notify the principal investigator regarding the status of the proposal.

e. Data collection may begin as soon as the investigator has received committee approval. In the event that the reviewers do not approve the proposal, it will be forwarded to the full committee for review.

3. Research Subject to Full Committee Review

a. Research projects not eligible for either exemption or expedited review under 45 CFR 46 guidance will be subject to full committee review.

b. The committee meets on a monthly basis during each long semester to review proposals and policies. Additional meetings may be called as needed. The committee does not routinely meet or accept applications for full review during the summer.

c. The investigator(s) may choose to be available for the committee meeting at which the project proposal will be reviewed in order to answer any questions the committee may have regarding the proposal. Attendance by the investigator(s) at this committee meeting is not required.

4. Continuation or Renewal

a. A project that has been determined to be exempt from IRB review does not
require further review (e.g. annual continuing review) unless the relevant
details of the project change and/or federal regulations are revised in a
way that makes the project ineligible for the exemption categories above.

b. Continuing review of research and other scholarly activities that were
approved by the IRB is conducted at intervals appropriate to the
degree of risk, but no less than once per academic year. Projects that
were approved under expedited or full review require annual renewal.
Approval of research is good for a one year period. If the research is to
continue beyond the approved time the researcher must request an
extension. The request for extension must be reviewed according to 45
CFR 46 guidance, at the same level of review as the original proposal. The
researcher’s request must include the following information:
a) the name of principal investigator(s) and title of the research project;
b) the number of participants that have been tested to date and the number of
   additional participants needed;
c) a description of any modifications that will be made to the procedures;
d) any changes in anticipated risks or benefits;
e) a description of any adverse effect or participant complaints to date; and
f) a brief summary of the findings to date.

c. If the investigator, during the course of conducting the research or
   scholarly activities, revises the protocol (e.g. makes changes to the
   informed consent form, survey instruments used, or number and nature of participants), she/he must submit immediately an addendum
to the approved protocol for review by the IRB.

C. Training

Individuals with projects subject to IRB review All individuals conducting research
or other scholarly activity (including faculty, staff, students, etc.) that involve
human subjects must complete a training course approved by the Provost and Vice
President for Academic Affairs and endorsed by MSU’s IRB and provide
documentation of certification. Alternate courses may be accepted but only at the
discretion of the committee. Online training from the National Institute of Health is
available at [http://phrp.nihtraining.com](http://phrp.nihtraining.com). A certificate of completion must be
submitted for each of the primary investigators all project personnel. Approval of
an IRB application will be withheld until all project personnel have completed
the course. It is recommended that all research assistants who will interact with
participants or have access to identifiable data must also complete the training.
Training is required regardless of whether the project is internally funded, externally
funded, or unfunded. Although subject to modification based on changing federal
guidelines, training is currently required annually for each student investigator and
recommended every 3 three years for faculty/staff.

D. Records

In accordance with Federal regulations, require all IRB records are retained for at
least three years, and records relating to the human subjects research conducted are
retained for at least three years after completion of the research. All records must will
be made accessible for inspection and copying by authorized federal officials at
reasonable times and in a reasonable manner.
E. Midwestern State University IRB Procedure Manual

Federal regulations at 45 CFR 46.103(b) (4) and (5) require institutions to have **establish and follow** written IRB procedures for each of the following 7 areas:

a. conducting its initial and continuing review of research and reporting its findings and actions to the investigator and institution;

b. procedures which the IRB will follow for conducting its continuing review of research;

c. procedures which the IRB will follow for reporting its findings and actions to investigators and the institution;

d. procedures which the IRB will follow for determining which projects require review more often than annually;

e. procedures which the IRB will follow for determining which projects need verification from sources other than the investigators that no material changes have occurred since previous IRB review;

f. procedures which the IRB will follow for ensuring prompt reporting to the IRB of proposed changes in a research activity, and for ensuring that such changes in approved research, during the period for which the IRB approval has already been given, may not be initiated without IRB review and approval except when necessary to eliminate apparent immediate hazards to the subject; and

g. procedures for ensuring prompt reporting to the IRB, appropriate institutional officials, any department or agency head, and the Office of Human Research Protections (OHRP), **HHS, or any successor office, or the equivalent office within the appropriate federal agency** of:

   (1) any unanticipated problems involving risks to subjects or others (hereinafter referred to as unanticipated problems);

   (2) any serious or continuing noncompliance with 45 CFR Part 46 or the requirements or determinations of the IRB; and

   (3) any suspension or termination of IRB approval.

h. **MSU’s IRB processes and procedures are described in the IRB Guidelines document available on the IRB page on MSU’s website.**

F. Noncompliance

*In accordance with 45 CFR Part 46, the IRB shall have the right to suspend or terminate approval of research that is not being conducted in accordance with the IRB’s requirements or that has been associated with unexpected serious harm to subjects. Any suspension or termination of approval shall include a statement of the reasons for the IRB’s action and shall be reported promptly to the investigator, the Provost and Vice President for Academic Affairs, and, in the case of externally funded research, to the cognizant department or agency head.*

VI. Related Statutes, Rules, Policies, Forms, and Websites

**Related Statutes/Rules:**

45 *Code of Federal Regulations (CFR)* Part 46 (Protection of Human Subjects)

**Related Policies:**

Protection of Human Subjects in Research
MSU Policy 3.142: Faculty Research

Related Forms:

VII. Responsible Office(s)
Director of Sponsored Programs and research
Phone: (940) 397-4315
E-mail: kathryn.zuckweiler@msutexas.edu

VIII. History
05/15/2009: Revisions:
• Title changed to “Institutional Review Board”
• Added under Review Procedures
  o Changed from “Chair of HRSC Committee” to Human Subjects Review Committee Website
  o Added “The HRSC recommends that students or faculty planning to conduct research complete NIH human subjects training (the web link is available through the HSRC website). Credit for completing the training is available. Training takes approximately two or three hours to complete.”
  o Added “No investigator(s) should begin research involving human subjects without first receiving approval from the HRSC on a claim for exemption, an expedited review, or a full review. Approval for research cannot be granted after research has been conducted”
  o Added under Exempt Research, “and Consent form if needed”
    ▪ Deleted: The Chair of the HRSC, upon receipt, will forward the Claim for Exemption to an appropriate committee member assigned for review.
    ▪ Added: Each application must have the appropriate signature indicating that the proposal has been read, reviewed, and approved within the originating department and college and that the proposal conforms to accepted practical and ethical standards of the discipline. This must occur prior to submission for HRSC consideration.
    ▪ Deleted: Data collection may begin as soon as the expediting Reviewer has approved the proposal, and the Statement of expediting Reviewer does not approve the proposal, it will be forwarded to the full committee for review. The Chair of the proposal.
  • Added Expedited Research
    o (1) If the principal investigator and department chairperson determine that a project does not meet the criteria for exemption from institutional review, investigator(s) will prepare and submit a Claim for Expedited Research, a Cover Sheet, and a Consent form to the HRSC. Questionnaires to be used in the course of the proposed research must be submitted with Claim for Expedited forms
(2) Research qualifying for expedited review will usually involve little or no risk to participants who are under age of 18 or adults who will be audio or video taped. (see Examples of Research suitable for Expedited Review)

(3) Claims for expedited review are handled on an “as needed” basis. Each application must have the appropriate signatures indicating that the proposal has been read, reviewed, and approved within the originating department and college and that the proposal conforms to accepted practical and ethical standards of the discipline. This must occur prior to submission for HRSC consideration. Data collection may begin as soon as the Expediting Reviewer has approved the proposal, it will be forwarded to the full committee for review. The Chair of the HRSC will notify the principal investigator regarding the status of the proposal.

**Under Research... Committee Review**

- Monthly basis was changed to as needed basis
- Deleted: Additional meetings may be called as needed
- Added: each application must have the appropriate signatures indicating that the proposal has been read, reviewed, and approved within the originating department and college and that the proposal conforms to accepted practical and ethical standards of the discipline. This must occur prior to submission for HRSC consideration
- Changed “investigator” to “committee member from that college”
- Deleted “prepare”
- Added: The HRSC Chair will disseminate the complete proposal with attachments to all committee members
- Added “review” and deleted “committee meeting at which the project is scheduled to be reviewed”
- Changed to “majority of members” from “full committee”

**08/09/2013:** Revised to ensure that research performed on students, faculty, and staff is in compliance with federal regulations related to the protection of privacy, safety, health, and welfare of persons who are subjects in that research.

**11/07/2019:** Revised to bring the policy into alignment with federal regulations and MSU procedures related to the protection of human subjects in research. The revisions also benchmark MSU policy to federal regulations, which will allow future procedural adjustments necessitated by federal regulations without requiring policy manual revisions. Renumbered from 3.146 to University Policy and Procedure (UPP) 2-510.
University Policy and Procedure (UPP)
UPP 2-515: Protection of Animals in Research

Approval Authority: Board of Regents
Policy Type: University Policy and Procedure
Policy Owner: Provost and Vice President for Academic Affairs
Responsible Office: Director of Sponsored Programs and Research
Next Scheduled Review: 01/07/2020

I. Policy Statement

Midwestern State University (“MSU” or “University”) recognizes the scientific and ethical responsibility for the humane care and use of animals involved in research, education, and testing and enjoins all individuals involved to the highest standards of care and consideration. Safeguarding the welfare of animals involved in research, testing and teaching is of prime concern to MSU, and this policy provides guidance in complying with federal laws and regulations and University rules and regulations relating to research involving animals. All personnel engaged in any given study are accountable for any actions or inactions that might contribute to harm of any animals placed at risk. The University will maintain such reviews as necessary to minimize discomfort to animals and to ensure protection of their welfare. The fundamental responsibilities outlined above are meant to suggest a preventive attitude with respect to potential harm to animals. However, to ensure that all animals are adequately protected, authority is delegated and responsibilities are fixed as indicated below.

II. Reason for Policy

The purpose of this policy is to allow for the protection of animals involved in research conducted by MSU faculty, staff, and students in a manner consistent with federal regulations as stated in U.S. Code (USC) Title 7 Chapter 54 Animal Welfare Act (AWA) (7 USC § 54) and Code of Federal Regulations (CFR) CFR Subchapter A Animal Welfare (9 CFR A), Animal Welfare Regulations (42 USC § 289d) and any other current or future federal regulation relating to the protection of animals in research. In conjunction with 9 CFR 2.31, MSU has established an Institutional Animal Care and Use Committee (IACUC). Additional standards on the humane care and use of animals established by the Public Health Service (PHS) Public Law 99-158 Health Research Extension Act of 1985 includes vertebrate animals and will also guide animal care and use at MSU.
III. Application of Policy

All research and scholarly activity conducted under the auspices of MSU that involves animals must be reviewed and approved by the IACUC before the research begins and any data are collected. This includes research conducted by students, faculty, or staff, and both internally and externally funded research.

IV. Definitions

Activity—Means elements of research, testing, or teaching procedures that involve the care and use of animals.

Animal(s)—The AWA defines “animal” as any live or dead dog, cat, nonhuman primate, guinea pig, hamster, rabbit, or any other warm-blooded animal, which is being used, or is intended for use for research, teaching, testing, experimentation, or exhibition purposes, or as a pet. This term excludes birds, rats of the genus Rattus, and mice of the genus Mus, bred for use in research; horses not used for research purposes; and other farm animals, such as, but not limited to, livestock or poultry used or intended for use as food or fiber, or livestock or poultry used or intended for use for improving animal nutrition, breeding, management, or production efficiency, or for improving the quality of food or fiber. With respect to a dog, the term means all dogs, including those used for hunting, security, or breeding purposes.

Animal use—Means the proper care, use, and humane treatment of animals produced for or used in research, testing, or teaching.

APHIS—The Animal and Plant Health Inspection Service, an agency of the United States Department of Agriculture tasked with the authority to regulate and enforce the AWA.

Euthanasia—Means the humane destruction of an animal accomplished by a method that produces rapid unconsciousness and subsequent death without evidence of pain or distress, or a method that utilizes anesthesia produced by an agent that causes painless loss of consciousness and subsequent death.

Field study—Means any study conducted on free-living wild animals in their natural habitat, which does not involve an invasive procedure, and which does not harm or materially alter the behavior of the animals under study.

Handling—Means petting, feeding, watering, cleaning, manipulating, loading, crating, shifting, transferring, immobilizing, restraining, treating, training, working, and moving or any similar activity with respect to any animal.

Housing facility—Means any land premises, shed, barn, building, trailer or other structure or area housing or intended to house animals.

Humane care—Means all actions taken to ensure that animals are treated according to high ethical and scientific standards.
Institutional Animal Care and Use Committee (IACUC)—Means an administrative body established by the University to protect the welfare of animal research subjects obtained for research activities conducted under the auspices of the University.

Investigator—Means an employee of a research facility, or other person associated with a research facility, responsible for a proposal to conduct research and for the design and implementation of research involving animals.

Noncompliance—Means that researchers or individuals other than researchers, such as research staff, IACUC staff, or IACUC members, did not adhere to federal regulations and/or MSU rules, regulations, policies, procedures, requirements, or IACUC determinations for conducting research involving animals.

Program—Means the activities conducted by and at an institution that have a direct impact on the well-being of animals, including animal and veterinary care, policies and procedures, personnel and program management and oversight, occupational health and safety, IACUC functions, and animal facility design and management.

Research facility—As defined by the AWA this is any school (except an elementary or secondary school), institution, organization, or person that uses or intends to use live animals in research, tests, or experiments, and that (1) purchases or transports live animals in commerce, or (2) receives funds under a grant, award, loan, or contract from a department, agency, or instrumentality of the United States for the purpose of carrying out research, tests, or experiments: Provided, that the Administrator may exempt, by regulation, any such school, institution, organization, or person that does not use or intend to use live dogs or cats, except those schools, institutions, organizations, or persons, which use substantial numbers (as determined by the Administrator) of live animals the principal function of which schools, institutions, organizations, or persons, is biomedical research or testing, when in the judgment of the Administrator, any such exemption does not vitiate the purpose of the Act.

Standards—The requirements with respect to the humane housing, exhibition, handling, care, treatment, temperature, and exportation of animals

V. Procedures and Responsibilities
A. General principles

MSU will follow the principles as specified in the Guide for the Care and Use of Laboratory Animals 8th edition, by the Committee for the Update of the Guide for the Care and Use of Laboratory Animals, Institution for Laboratory Animal Research, Division on Earth and Life Studies. In the guide, the following principles are endorsed:

- Consideration of alternatives (in vitro systems, computer simulations, and/or mathematical models) to reduce or replace the use of animals;
- Design and performance of procedures on the basis of relevance to animal or human health, advancement of knowledge, or the good of society;
- Use of appropriate species, quality, and number of animals;
- Avoidance or minimization of discomfort, distress, and pain;
- Use of appropriate sedation, analgesia, and anesthesia;
- Establishment of humane endpoints;
- Provision of adequate veterinary care;
- Provision of appropriate animal transportation and husbandry directed and performed by qualified persons;
- Conduct of experimentation on living animals exclusively by and/or under the close supervision of qualified and experienced personnel.

Federal regulations and guidelines dealing with animal welfare focus mainly on biomedical and behavioral research, teaching and testing that takes place in the laboratory on animals as defined by the AWA. In 9 CFR 2.31 part d, some vertebrates and non-laboratory (field) studies are exempt from the IACUC review requirement, but are included under the Health Research Extension Act of 1985. Additionally, the Guide for the Care and Use Of Laboratory Animals states that zoonoses should be reviewed by the institution's health and safety committee or office, with assurances to the IACUC that the field study is designed to minimize risks to the health and safety of either animals or persons in the field. Many taxon-specific organizations have published guidelines for responsible use of animals in research, including:

- The Ornithological Council Guidelines to the Use of Wild Birds in Research;
- American Fisheries Society Guidelines for the Use of Fishes in Research;
- American Society of Ichthyologists and Herpetologists Guidelines for the Use of Live Amphibians and Reptiles in Field and Laboratory Research
- Guidelines of the American Society of Mammalogists for the use of wild mammals in research

These guidelines are the primary means for the IACUC to evaluate field protocols. Researchers who are planning field studies should consult one or more of these references. IACUC review does not free the field study from other regulatory requirements nor does acquisition of permits or approval from any management agency supersede IACUC review.

B. Review

1. This policy will be reviewed no later than February 1 of each odd-numbered year by the Chair of the IACUC and the Provost and Vice President for Academic Affairs, with recommendations for revision presented to the President no later than March 1.

2. Institutional Animal Care and Use Committee (IACUC)

   a. Institutional Animal Care and Use Committee Composition and Appointment

      (1) Members of the IACUC will be appointed by the Provost and Vice President for Academic Affairs, in accordance with requirements for composition and qualifications for membership set forth in 9 CFR 2.31. Committee membership will include:

      (a) At least two faculty members, of whom:

      i. One must be a scientist experienced in laboratory animal procedures;

      ii. One must be a non-scientist;

Protection of Animals in Research
iii. A veterinarian with training or experience in laboratory animal science and medicine;

iv. One public member with no affiliation with MSU other than as a member of the Committee;

v. Not more than three members from the same administrative unit.

Members are appointed for two-year terms.

(2) The IACUC chairperson will be selected from IACUC members with at least one year of experience serving on the board and appointed by the Provost and Vice President for Academic Affairs.

(3) Members will complete the training described in Section 3 (Training) below prior to serving.

b. Review

(1) The IACUC will establish procedures for, oversee, and regularly evaluate the animal care and use program. The IACUC will meet semi-annually and more often if needed and will keep accurate and timely records of its deliberations.

(2) Research or scholarly activity protocols involving the use of animals must provide evidence of the following:

(a) Procedures involving animals will avoid or minimize discomfort, distress, and pain to the animals.

(b) The principal investigator has considered alternatives to procedures that may cause more than momentary or slight pain or distress to the animals, and has provided a written narrative description of the methods and sources used to determine that alternatives were not available.

(c) The principal investigator has provided written assurance that the activities do not unnecessarily duplicate previous experiments.

(d) Procedures that may cause more than momentary or slight pain or distress to the animals will:

i. Be performed with appropriate sedatives, analgesics or anesthetics, unless withholding such agents is justified for scientific reasons, in writing, by the principal investigator and will continue for only the necessary period of time;

ii. Involve, in their planning, consultation with the attending veterinarian or designee; and

iii. Not include the use of paralytics without anesthesia.

(e) Animals that would otherwise experience severe or chronic pain or distress that cannot be relieved will be painlessly euthanized at the end of the procedure or if appropriate, during the procedure.

(f) The animals’ living conditions will be appropriate for their species in accordance with 9 CFR 2.31 part 3 and contribute to their health and comfort. The housing, feeding and nonmedical care of the animals will be directed by the attending veterinarian or other scientist trained and experienced in the proper care,
handling and use of the species being maintained or studied.

(g) Medical care for animals will be available and provided as necessary by a qualified veterinarian.

(h) Personnel conducting procedures on the species being maintained or studied will be appropriately qualified and trained in those procedures.

(i) Activities that involve surgery include appropriate provision for pre-operative and post-operative care of the animals in accordance with established veterinary medical and nursing practices.

(j) No animal will be used in more than one major operative procedure from which it is allowed to recover, unless:
   i. Justified for scientific reasons by the principal investigator, in writing;\(^7\)
   ii. Required as routine veterinary procedure or to protect the health or well-being of the animal as determined by the attending veterinarian; or
   iii. In other special circumstances as determined on an individual basis.

(k) Methods of euthanasia used must be in accordance with the definition of the term set forth in 9 CFR part 1, § 1.1 unless a deviation is justified for scientific reasons, in writing, by the investigator.

c. Research Subject to Full Committee Review

   (1) Research projects not eligible for either exemption under 9 CFR 2.31 guidance will be subject to full committee review.

   (2) The committee meets semi-annually to review proposals and policies. Additional meetings may be called as needed. The committee does not routinely meet or accept applications for full review during the summer.

   (3) The investigator(s) may choose to be available for the committee meeting at which the project proposal will be reviewed in order to answer any questions the committee may have regarding the proposal. Attendance by the investigator(s) at this committee meeting is not required.

   (4) Research projects involving vertebrate animals that qualify under Health Research Extension Act of 1985 will be subject to expedited review by a subset of the IACUC that includes the Chair and at least one other board member.

d. Continuation or Renewal

   (1) A project that has been determined to be exempt from IACUC review does not require further review (e.g. annual continuing review) unless the relevant details of the project change and/or federal regulations are revised in a way that makes the project ineligible for exemption.

   (2) Continuing review of research and other scholarly activities that were approved by the IACUC is conducted at intervals appropriate to the
degree of risk, but no less than once per academic year. Approval of research is good for a one year period. If the research is to continue beyond the approved time the researcher must request an extension. The request for extension must be reviewed according to 9 CFR 2.31.

(3) If the investigator, during the course of conducting the research or scholarly activities, revises the protocol (e.g. makes changes to the informed consent form, survey instruments used, or number and nature of participants), she/he must submit immediately an addendum to the approved protocol for review by the IACUC.

3. Training

a. All individuals conducting research or other scholarly activity (including faculty, staff, students, etc.) that involve animals must complete a training course approved by the Provost and Vice President for Academic Affairs and endorsed by MSU’s IACUC and provide documentation of certification. Alternate courses may be accepted but only at the discretion of the committee. A certificate of completion must be submitted for all project personnel. Approval of an IACUC application will be withheld until all project personnel have completed the course. All research assistants who will interact with animals must also complete the training. Training is required regardless of whether the project is internally funded, externally funded, or unfunded. Although subject to modification based on changing federal guidelines, training is currently required annually for each student investigator and every three years for faculty/staff.

b. As stipulated in 9 CFR 2.31 training and instruction of personnel must include guidance in at least the following areas:

   (1) Humane methods of animal maintenance and experimentation, including:
       (a) The basic needs of each species of animal;
       (b) Proper handling and care for the various species of animals used by the facility;
       (c) Proper pre-procedural and post-procedural care of animals;
       (d) Aseptic surgical methods and procedures.

   (2) The concept, availability, and use of research or testing methods that limit the use of animals or minimize animal distress.

   (3) Proper use of anesthetics, analgesics, and tranquilizers for any species of animals used by the facility.

   (4) Utilization of services available to provide information:
       (a) On appropriate methods of animal care and use;
       (b) On alternatives to the use of live animals in research;
       (c) That could prevent unintended and unnecessary duplication of research involving animals;
       (d) Regarding the intent and requirements of the Animal Welfare Act.

4. Records

In accordance with federal regulations, all IACUC records are retained for at least
three years, and records relating to the animal research conducted are retained for at least three years after completion of the research. All records will be made accessible for inspection and copying by authorized federal officials at reasonable times and in a reasonable manner.

Specific recordkeeping requirements are stipulated under 9 CFR 2.35, and include records retention for IACUC committee activities, including meeting minutes, proposed activities and their associated approval decisions, semiannual IACUC reports, purchase records of animals used in research.

5. Midwestern State University IACUC Procedure Manual

Federal regulations at 9 CFR Subchapter A require institutions to establish and follow written IACUC procedures for each of the following areas:

a. conducting its initial and continuing review of research and reporting its findings and actions to the investigator and institution;

b. procedures which the IACUC will follow for conducting its continuing review of research;

c. procedures which the IACUC will follow for reporting its findings and actions to investigators and the institution;

d. procedures which the IACUC will follow for determining which projects require review more often than annually;

e. procedures which the IACUC will follow for determining which projects need verification from sources other than the investigators that no material changes have occurred since previous IACUC review;

f. procedures which the IACUC will follow for ensuring prompt reporting to the IACUC of proposed changes in a research activity, and for ensuring that such changes in approved research, during the period for which the IACUC approval has already been given, may not be initiated without IACUC review and approval except when necessary to eliminate apparent immediate hazards to the subject; and

g. procedures for ensuring prompt reporting to the IACUC, appropriate institutional officials, any department or agency head, and the Animal and Plant Health Inspection Service (APHIS), an agency of the United States Department of Agriculture, or any successor office, or the equivalent office within the appropriate federal agency of:

h. MSU’s IACUC processes and procedures are described in the IACUC Guidelines document available on the IACUC page on MSU’s website.

6. Noncompliance

In accordance with 9 CFR 2.31, the IACUC shall have the right to suspend or terminate approval of research if it determines that the activity is not being conducted in accordance with the description of that activity provided by the principal investigator and approved by the Committee. If the IACUC suspends an activity involving animals, the Provost and Vice President for Academic Affairs, in consultation with the IACUC, shall review the reasons for suspension, take appropriate corrective action, and report that action with a full explanation to APHIS and any Federal agency funding that activity.
VI. Related Statutes, Rules, Policies, Forms, and Websites

Related Statutes/Rules:

Related Policies:
MSU Policy 3.142: Faculty Research

Related Forms:

VII. Responsible Office(s)

Director of Sponsored Programs and Research
Phone: (940) 397-4315
E-mail: kathryn.zuckweiler@msutexas.edu

VIII. History

05/16/2013 Academic Council approval of the Creation of an Institutional Animal Care and Use Committee
3.317 President's Office
ACADEMIC EMERITUS STATUS - FACULTY AND ADMINISTRATION
Date Adopted/Most Recent Revision: 08/05/2016

A. General
University faculty at the ranks of assistant professor, associate professor and professor and academic administrators in the positions of dean, provost and vice president for academic affairs, or president may be granted emeritus status upon retirement.

B. Eligibility
Emeritus status may be granted to eligible faculty or administrators who have faithfully served the university for ten (10) or more consecutive years in a full-time position. Faculty will have a record of (1) either extraordinary contributions to teaching or scholarly/creative production or service (2) or have continuously been productive in teaching, scholarship/creative activities, and service. Administrators in the positions of dean or provost and vice president for academic affairs will have notably contributed to the progress of the university. A president who has served the university for ten (10) or more consecutive years will automatically be considered.

C. Process
Unless the provost and vice president for academic affairs or the president is under consideration, the provost and vice president for academic affairs will ask for nominations from the relevant chair or dean. These nominations should include a letter addressing the eligibility and a curriculum vita of the individual been considered. The provost and vice president for academic affairs will then forward the nomination material to the University Tenure and Promotion Committee for recommendations. The appraisals from the University Tenure and Promotion Committee and the provost and vice president for academic affairs will be sent to the President of the university. Nominations can be submitted for up to 12 months after a faculty member has retired. If the provost and vice president for academic affairs is under consideration, the president will ask for independent recommendations from the University Tenure and Promotion Committee, the relevant chair, and dean. If the president wishes emeritus status to be granted, he or she will so recommend to the Board of Regents of Midwestern State University. Self-recommendations are inappropriate.

D. Benefits
In addition to benefits extended to all MSU retirees who have served the university for ten years, emeriti professors and administrators shall be entitled to:

1. use of Midwestern State University’s name in their scholarly pursuits;
2. use of university laboratory and office space and other resources depending on availability and the president’s approval (permission will be granted on a semester basis);
3. maintenance of their MSU emeritus e-mail address;
4. marching in the appropriate position in the academic procession; and
5. actively participating in university events and offerings.
3.318 President’s Office
STAFF EMERITUS STATUS
Date Adopted/Most Recent Revision: 05/14/2010

A. Purpose:
University administrators at the ranks of vice president, associate vice president, dean, director, and department head may be granted emeritus status upon retirement.

B. Eligibility:
Staff Emeritus status may be granted to eligible staff members who have faithfully served Midwestern State University for a minimum of ten (10) years in an eligible position and who have notably contributed to the progress of the university.

C. Process:
Recommendations may be initiated by any member within the recipient’s departmental organization. Self-recommendations are inappropriate. If the president wishes emeritus status to be granted, he or she will so recommend to the Board of Regents of Midwestern State University.

D. Benefits
In addition to benefits extended to all MSU retirees who have served the university for ten years, emeriti staff administrators shall be entitled to:

1. use of Midwestern State University’s name in their scholarly and professional pursuits and,
2. maintenance of their MSU emeritus e-mail address.
University Policy and Procedure (UPP)
UPP 3-420: Reporting Abuse and Neglect of Child, Elder, or Disabled Person

Approval Authority: Board of Regents
Policy Type: University Policy and Procedure
Policy Owner: Vice President for Administration and Finance
Responsible Office: Human Resources Director
Next Scheduled Review: 11/07/2020

I. Policy Statement
Midwestern State University (“MSU” or “University”) is committed to protecting children, elderly, and disabled persons as vulnerable members of society and in fulfilling the institution’s obligation to report suspected abuse or neglect as required by Texas law.

II. Reason for Policy
This policy defines the responsibility for reporting suspected abuse or neglect of children or an elderly or disabled person and complying with state law and applicable training requirements.

III. Application of Policy
This policy applies to all members of the MSU community, including but not limited to faculty, students, staff, individuals authorized to act on behalf of MSU, and independent contractors and third-party vendors and their employees/volunteers who have direct contact with children, elderly, or disabled persons.

IV. Definitions (specific to this policy)
For purposes of this policy:

Abuse: “Abuse” means the following acts or omissions by a person:

a. Mental or emotional injury to a child that results in an observable and material impairment in the child’s growth, development or psychological functioning;
b. Causing or permitting a child to be in a situation in which the child sustains a mental or emotional injury that results in an observable and material impairment in the child’s growth, development or psychological functioning;

c. Physical injury that results in substantial harm to the child, or the genuine threat of substantial harm from physical injury to the child, including an injury that is at variance with the history or explanation given and excluding an accident or reasonable discipline by a parent, guardian, or managing or possessory conservator that does not expose the child to a substantial risk of harm;

d. Failure to make a reasonable effort to prevent an action by another person that results in physical injury that results in substantial harm to the child;

e. Sexual conduct harmful to a child's mental, emotional, or physical welfare, including conduct that constitutes the offense of continuous sexual abuse of a young child or children, indecency with a child, sexual assault, or aggravated sexual assault;

f. Failure to make a reasonable effort to prevent sexual conduct harmful to a child;

g. Compelling or encouraging a child to engage in sexual conduct, including conduct that constitutes an offense of trafficking of persons, prostitution, or compelling prostitution;

h. Causing, permitting, encouraging, engaging in, or allowing the photographing, filming, or depicting of the child if the person knew or should have known that the resulting photograph, film, or depiction of the child is obscene, or pornographic;

i. The current use by a person of a controlled substance in a manner or to the extent that the use results in physical, mental, or emotional injury to a child;

j. Causing, expressly permitting, or encouraging a child to use a controlled substance;

k. Causing, permitting, encouraging, engaging in, or allowing a sexual performance by a child; or

l. Knowingly causing, permitting, encouraging, engaging in, or allowing a child to be trafficked in a manner punishable as an offense, or the failure to make a reasonable effort to prevent a child from being trafficked in a manner punishable by law.

Abuse of an Elderly or Disabled Person: “Abuse of an elderly or disabled person” means:

a. the negligent or willful infliction of injury, unreasonable confinement, intimidation or cruel punishment with resulting physical or emotional harm or pain to an elderly or disabled person by the person’s caretaker, family member or other individual who has an ongoing relationship with the person, or

b. sexual abuse of an elderly or disabled person, including any involuntary or nonconsensual sexual conduct that would constitute indecent exposure, or

c. assaultive offenses committed by the person’s caretaker, family member, or other individual who has an ongoing relationship with the person.

Campus Law Enforcement: “Campus law enforcement” means any of the law enforcement agencies of the MSU campuses including the MSU Police Department and the North Central Texas College Police Department at the Flower Mound Center.

Child: “Child” means a person under 18 years of age.

Employee: “Employee” means anyone employed by MSU, including staff and faculty, including
full and part-time employees, employees in a temporary capacity, and student employees. The term includes employees who do not regularly come into contact with minors in the course of their employment. The term does not include independent contractors.

Elderly Person: “Elderly person” means a person 65 years of age or older.

Disabled Person: “Disabled person” means a person with mental, physical or developmental disability that substantially impairs the person’s ability to provide adequately for the person’s care or protection and who is 18 years of age or older or under the age of 18 and who has had the disabilities of minority removed.

Exploitation: “Exploitation” means the illegal or improper act or process of a caretaker, family member or other individual who has an ongoing relationship with an elderly or disabled person that involves using, or attempting to use, the resources of the elderly or disabled person, including the person’s social security number or other identifying information, for monetary or personal benefit, profit or gain without the informed consent of the elderly or disabled person.

Neglect: “Neglect” means:

a. The leaving of a child in a situation where the person knows or should know that the child would be exposed to a substantial risk of physical or mental harm, without arranging for necessary care for the child, and the demonstration of an intent not to return by a parent, guardian, or managing or possessory conservator of the child; or

b. The following acts or omissions by a person who knows or should know that:

   i. Placing a child in or failing to remove a child from a situation that a reasonable person would realize requires judgment or actions beyond the child's level of maturity, physical condition, or mental abilities and that results in bodily injury or a substantial risk of immediate harm to the child;

   ii. Failing to seek, obtain, or follow through with medical care for a child, with the failure resulting in or presenting a substantial risk of death, disfigurement, or bodily injury or with the failure resulting in an observable and material impairment to the growth, development, or functioning of the child;

   iii. The failure to provide a child with food, clothing, or shelter necessary to sustain the life or health of the child, excluding failure caused primarily by financial inability unless relief services had been offered and refused;

   iv. Placing a child in or failing to remove the child from a situation in which the child would be exposed to a substantial risk of sexual conduct harmful to the child; or

   v. Placing a child in or failing to remove the child from a situation in which the child would be exposed to acts or omissions that constitute abuse committed against another child; or

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

Neglect of An Elderly or Disabled Person: “Neglect of an elderly or disabled person” means the failure to provide for one’s self the goods or services, including medical services, which are
necessary to avoid physical or emotional harm or pain, or failure of a caretaker to provide such goods or services.

Professional Employee: “Professional employee” means an employee who is certified by the state who, in the normal course of official duties for which a license or certification is required, has direct contact with children.

Student: “Student” means anyone actively enrolled in at least one SCH (semester credit hour) during a given enrollment term. Student also includes individuals between academic terms that completed the most recent term and registered for the upcoming term.

V. Procedures and Responsibilities

A. Reporting Obligations

1. An individual who has cause to believe that a child’s physical or mental health or welfare has been or will be adversely affected by abuse and/or neglect by any person must immediately report his or her belief to:
   a. Any local or state law enforcement agency, including campus law enforcement, especially in situations requiring an immediate response; or
   b. The Department of Family and Protective Services (“DFPS) or the agency designated by a court as responsible for the protection of children.

2. A report must be made to DFPS if the suspected child abuse or neglect involves a person responsible for the care, custody or welfare of the child.

3. A professional employee who has cause to believe that a child has been abused or neglected or may be abused or neglected, or that a child is the victim of the offense of indecency with a child also must make a report not later than 48 hours after the time the professional first suspects that the child has been or may be abused or neglected, or is the victim of child abuse or neglect or the offense of indecency with a child.

4. An individual who witnesses, either a child in imminent danger or a crime against a child in progress should immediately call 911 to make a report.

5. Reporting suspected child abuse or neglect is mandatory and cannot be delegated to another individual or MSU official. Reporting suspicion to another MSU official or employee or to the MSU Hotline does not satisfy the reporting requirement.

6. An individual whose personal communications might otherwise be privileged including an attorney, a medical practitioner, a social worker or a mental health professional must still make a report.

7. A report must be made in good faith. Confirmed evidence or proof of child abuse or neglect is not required prior to making a report. Uncertainty should be resolved in favor of making a report.

8. Suspected child abuse or neglect must be reported when an individual learns of an allegation regardless of the alleged date of the incident.
9. An individual who makes a good faith report will not be retaliated against for making a report, even if the report is unfounded.

10. Failure to immediately report suspected child abuse or neglect is a violation of state criminal law and may subject faculty, staff, or students to disciplinary action, up to and including termination or expulsion.

B. Duty to Report Abuse, Neglect or Exploitation of an Elderly or Disabled Person

1. An employee or student shall make a report to the Department of Protective and Regulatory Services (“DPRS”) if the employee or student has cause to believe that an elderly or disabled person is in the state of abuse, neglect or exploitation, including a disabled person receiving services in:
   a. A mental health facility operated by the Department of State Health Services.
   b. A licensed intermediate care facility for the mentally retarded.
   c. In or from a community center, a local mental health or mental retardation authority, or;
   d. Through a program providing services by contract with a mental health facility, community center or local mental health or retardation authority.

C. Internal Reporting Obligations

1. Students and other individuals who suspect child abuse or neglect occurring on any property owned, leased or controlled by any component campuses of MSU, or at any activity or event sponsored by MSU are strongly encouraged to report to his or her suspicions to the appropriate MSU official or office.

2. Upon receiving a report, the University will take appropriate action in cooperation with DFPS and/or law enforcement and will not take any action which might otherwise compromise a criminal investigation.

3. Unless waived in writing by the person making the report, the identity of a reporting individual will be confidential and may only be disclosed in accordance with law.

D. Training

1. All Professional Employees and Independent Contractors who are licensed or certified and who will come in contact with minors will be provided training in child abuse prevention techniques and the recognition of sexual abuse and other maltreatment of children and the responsibility and procedure of reporting suspected occurrence of sexual abuse and other maltreatment.
   a. Techniques for reducing a child’s risk of sexual abuse or other maltreatment.
   b. Factors indicating a child is at risk for sexual abuse or other maltreatment.
   c. The warning signs and symptoms associated with sexual abuse and other maltreatment and recognition of those signs and symptoms.
d. The requirements and procedures for reporting suspected sexual abuse or other maltreatment as provided by state law and this policy.

2. Employees are required to complete Sexual Abuse and Child Molestation Training within 30 days from the first day of employment. Employees who fail to complete training by the deadline are subject to disciplinary action, up to and including termination.

VI. Related Statutes, Rules, Regulations, Policies, Forms, and Websites

Related Statutes/Rules:
- *Texas Education Code*, Title 3 Subchapter Z (Miscellaneous Provisions), Section 51.9761 (Child Abuse Reporting Policy and Training).
- *Texas Family Code*, Chapter 261, Subchapter B.

Related Regulations:
- *Texas Administrative Code*, Title 25, Part 1, Chapter 265, Subchapter N (Campus Programs for Minors), Rule §265.401 - §265.4015.

Related MSU Policies:
MSU UPP 3-410: Youth Protection Program

Related Forms:

Related Websites/Hotlines:
MSU UPP 3-410: Youth Protection Program
Texas Abuse Hotline: 1-800-252-5400 available 24-hours-a-day / 7 days a week
For secure website reporting to DFPS: https://txabusehotline.org

VII. Responsible Office

Contact: Human Resources Director
Phone: (940) 397-4787
Email: dawn.fisher@msutexas.edu

VIII. Revision History
University Policy and Procedure (UPP)
UPP 3-470: Chemical Safety

Approval Authority: Board of Regents
Policy Type: University Policy and Procedure
Policy Owner: Provost and Vice President for Academic Affairs
Responsible Office: Dean, McCoy College of Science, Mathematics and Engineering
Next Scheduled Review: 11/07/2020

I. Policy Statement

It is the policy of Midwestern State University ("MSU" or "University") to protect the health and safety of students, staff and faculty while engaged in the educational and research activities of the University. To this end, it is the intent of the University to maintain laboratory exposures to hazardous chemicals as low as reasonably achievable. All faculty, staff, and students who enter any laboratory utilizing hazardous chemicals as defined in this policy shall comply with the Chemical Safety Policy and Chemical Hygiene Plan.

II. Reason for Policy

The purpose of this policy is to ensure compliance with Occupational Safety and Health Administration (OSHA) Regulation “Occupational Exposure to Hazardous Chemicals” codified as 29 CFR 1910.1450(e) pertaining to the Chemical Hygiene Plan (CHP) and 29 CFR 1910.1200(z) Hazard Communication, also known as the “Right To Know Law”. This policy also ensures compliance with Environmental Protection Agency (EPA) Resource Conservation and Recovery Act (RCRA – Title 40 of the Code of Federal Regulations (40 CFR) Parts 260-272). Applicable state law includes The Texas Administrative Code, Industrial Solid Waste and Municipal Hazardous Waste Title 30, Part I, Chapter 335). Applicable local law includes the City of Wichita Falls, Texas Code of Ordinances Article VII Division 4 Subdivision II Sections 106.816-823.

III. Application of Policy

The rules and procedures contained in this policy shall apply to all MSU facilities in which there is laboratory use of hazardous chemicals.
IV. Definitions

**Hazardous chemical**—Means a chemical for which there is a statistically significant evidence, based on at least one study conducted in accordance with established scientific principles that acute or chronic health effects may occur in exposed persons or a chemical that is considered a health hazard.

**Laboratory**—Means any facility where the “laboratory scale use of hazardous chemicals” occurs or a workplace where relatively small quantities of hazardous chemicals are used on a non-production basis.

**Particularly Hazardous Substances (PHS)**—The OSHA Laboratory Standard defines Particularly Hazardous Substances as chemicals that are either carcinogen, reproductive toxin, or highly toxic on immediate contact.

**Personal Protective Equipment (PPE)**—Means equipment worn to minimize exposure to hazards that cause serious workplace injuries and illnesses, and may include (but is not limited to) gloves, safety goggles, and lab coats.

**Safety Data Sheets (SDS)**—Means a document containing information such as the properties of each chemical; the physical, health, and environmental health hazards; protective measures; and safety precautions for handling, storing, and transporting the chemical. The SDS provides guidance for each specific chemical on recommended PPE, first aid procedures, and spill clean-up procedures. The SDS were formerly known as Materials Safety Data Sheets (MSDS).

**Use of hazardous chemicals**—Means handling or use of such chemicals in which all of the following conditions are met:
1. Chemical manipulations are carried out on a laboratory scale;
2. Multiple chemical procedures and/or chemicals are used;
3. The procedures involved are not part of a production process, nor in any way simulate a production process; and
4. Protective practices and equipment are available and in common use to minimize the potential for exposure to hazardous chemicals.

V. Procedures and Responsibilities

A. Chemical Hygiene Plan

The OSHA Regulation “Occupational Exposure to Hazardous Chemicals” 29 CFR 1910.1450(e) requires creation and implementation of a Chemical Hygiene Plan (CHP). The CHP should cover at minimum:

- Labels and other forms of warnings
- Safety Data Sheets (SDS)
- Employee information and training
MSU also requires that the CHP (1) educate and protect students, faculty, and staff from health concerns associated with the use of hazardous laboratory chemicals; (2) assure that chemical exposures are not in excess of the permissible exposure limits adopted by OSHA; and (3) protect college visitors and property against potentially dangerous accidents associated with the handling, storage and disposal of hazardous chemicals.

B. Chemical Safety Responsibilities

1. The MSU Environmental, Health, Safety and Risk Management (EHSRM) Committee is charged with the responsibility for health, safety and risk management. This includes meeting quarterly to discuss issues of health, safety, and risk management concern.

2. The Dean of the McCoy College of Science and Mathematics has the ultimate responsibility for chemical safety at MSU and provides, along with other offices and department chairs, support for efforts to improve chemical safety and health. The Dean supervises and authorizes the Chemical Safety Manager.

3. The Chemical Safety Manager (also listed as Chemical Safety Officer in the CHP) is responsible concurrently for the management of the university's chemical usage in the McCoy College of Science, Mathematics and Engineering and across the university's other colleges and non-academic departments. The Chemical Safety Manager has responsibility for:
   a. Management and technical service in the purchase, stocking, distribution, use and disposal of chemicals and chemical laboratory supplies;
   b. Maintaining a complete chemical inventory for MSU;
   c. Developing, managing and implementing university chemical hygiene plans (CHPs) to ensure compliance with EPA regulations, OSHA laboratory standards and the University Crisis Management Plan; and
   d. Serving as an ex officio member of the EHSRM Committee.

4. Faculty and staff are tasked with:
   a. Informing and training students and workers on chemical and operational procedure safety as it applies to activities in their areas, and being aware of hazardous properties of chemicals stored and used in the area;
   b. Evaluating and limiting an experiment’s potential for environmental emissions;
   c. Implementing and enforcing rules and standards concerning health and safety for laboratory, classroom, and support facilities;
   d. Ensuring student and lab worker compliance with the CHP;
   e. Ensuring that proper protective equipment is available and is in working order, and that individuals in the laboratory have been trained in the proper use of such equipment;
   f. Ensuring that all containers of hazardous waste are properly labeled and stored according to the Waste Management Plan;
   g. Understanding planned experimental activities and the hazardous chemicals used, including special personal protective equipment that may be required for those activities; and
h. Maintaining a current understanding of chemical safety through annual training and certification.

5. Lab workers and students are tasked with:
   a. Indicating by signature that they have been notified of the location(s) of the CHP and understand all safety locations and are willing to abide by them;
   b. Following all health and safety standards, standard operating procedures (SOP) and rules established in the CHP as communicated by staff and faculty;
   c. Reporting all hazardous conditions to the supervising faculty or staff;
   d. Wearing and using prescribed PPE;
   e. Reporting any illness or job-related injuries to the supervising faculty or staff;
   f. Requesting information and training of not sure about proper operational procedures; and
   g. Monitoring the workplace to identify environmental health and safety concerns.

C. Review
1. This policy will be reviewed no later than February 1 of each odd-numbered year by the EHSRM and the Dean of the McCoy College of Science, Mathematics and Engineering, with recommendations for revision presented to the Provost and Vice President of Academic Affairs no later than March 1.

2. Chemical Safety Committee (CSC)
   a. Chemical Safety Committee Composition and Appointment
      (1) Members of the CSC will be appointed by the Dean of the McCoy College of Science, Mathematics and Engineering. At least one faculty member will be appointed from each department in the McCoy College using hazardous chemicals. At least one faculty member from other colleges using hazardous chemicals will be appointed by the respective dean of the college;
      (2) The CSC chairperson will be selected from CSC faculty members appointed to the committee;
      (3) The Chemical Safety Manager will be an ex officio member of the CSC;
      (4) The Risk Management and Safety Manager will be an ex officio member of the CSC;
      (5) The committee shall at least meet annually; and
      (6) The committee shall review and grant approval and disapproval on the basis of chemical safety requests for the use of PHS within the institution prior to being brought on campus.

3. Review and approval for use of particularly hazardous substances (PHS)
   a. Any person wishing to work with PHS shall first obtain permission from the CSC. The application submitted to the Committee shall contain the following information:
      (1) Names of the faculty or staff who will be responsible for the safe use of the PHS;
      (2) Location of use, including building and room number;
      (3) List of PHS to be used, including physical form and maximum amount in possession at any one time;
      (4) A description of how the PHS are to be used;
(5) A description of the equipment and facilities including a floor sketch;
(6) A description of containment devices, such as fume hoods or spill trays;
(7) Procedures for safe removal of contaminated wastes; and
(8) Decontamination procedures.

b. Approval for use entails annual reporting to the Chemical Safety Manager on any remaining PHS in the laboratory for inventory updating and/or termination of the PHS approval upon completion of the work with PHS.

4. Training
a. All individuals using hazardous chemicals in any laboratory as defined in this policy shall undergo training annually.

b. As stipulated in 29 CFR 1910.1450(e) and 29 CFR 1910.1200(z) training and instruction of personnel must include guidance in at least the following areas:
   (1) Background information on the OSHA Laboratory Standard;
   (2) MSU Chemical Hygiene Plan (CHP) and where to find it;
   (3) Responsibilities of MSU personnel and students under the CHP;
   (4) General information regarding hazards from chemicals;
   (5) Sources of information regarding hazardous chemicals;
   (6) MSU chemical inventory;
   (7) SDSs;
   (8) Container labels;
   (9) How to minimize exposure to hazardous chemicals; and
   (10) What to do in an emergency.

5. Records
In accordance with federal regulations, all CSC training and approval records are retained for at least three years. Chemical inventories are updated when any new chemical is acquired or an inventoried chemical is depleted. The inventory is reviewed annually for accuracy. All records will be made accessible for inspection and copying by authorized federal officials at reasonable times and in a reasonable manner.

VI. Related Statutes, Rules, Policies, Forms, and Websites

Related Statutes/Rules:
OSHA Regulation 29 CFR 1910.1450(e)
OSHA Regulation 29 CFR 1910.1200(z)
Texas Administrative Code Title 30, Part I, Chapter 335
City of Wichita Falls, Texas Code of Ordinances Article VII Division 4 Subdivision II Sections 106.816-823.

Related Policies:
MSU Policy 3.142: Faculty Research

Related Forms:

VII. Responsible Office(s)

Chemical Safety
VIII. History

01/23/2013 Chemical Hygiene Plan provided to MSU by HRP Associates, Inc. went into effect.
Board Matters

University Leadership Report

20-38. President Shipley will provide information regarding the following.

A. MSU Dashboard Review

B. Association of Governing Boards President’s Council Meeting

Executive Session

20-39. The Board will convene in Executive Session as necessary to consider matters permissible under Chapter 551 of the Texas Government Code, that may include:

A. Government Code, Chapter 551, Section .071 – Consultation with Attorneys Regarding Legal Matters, Pending and/or Contemplated Litigation, or Settlement Offers, or on a Matter in which the Duty of the Attorney to the Governmental Body under the Texas Disciplinary Rules of Professional Conduct of the State Bar of Texas Clearly Conflicts with Chapter 551 of the Texas Government Code.

B. Government Code, Chapter 551, Section .072 - Deliberations Regarding the Purchase, Exchange, Lease, or Value of Real Property

C. Government Code, Chapter 551, Section .073 - Deliberations Regarding a Negotiated Contract for a Prospective Gift or Donation

D. Government Code, Chapter 551, Section .074 – Personnel Matters Relating to the Appointment, Employment, Evaluation, Reassignment, Duties, Discipline, or Dismissal of Officers or Employees, or to Hear a Complaint or Charge Against an Officer or Employee.

E. Government Code, Chapter 551, Section .076 - Deliberations Regarding Security Audits

Closing Comments

Adjournment
### A. Enrollment

<table>
<thead>
<tr>
<th>Year</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
<th>2019-20</th>
<th>Target</th>
<th>COPLAC Median</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total headcount enrollment</td>
<td>6,064</td>
<td>6,080</td>
<td>6,102</td>
<td>5,969</td>
<td>6,130</td>
<td>3,506</td>
</tr>
<tr>
<td>Fall undergraduate enrollment</td>
<td>5,319</td>
<td>5,330</td>
<td>5,372</td>
<td>5,226</td>
<td>5,350</td>
<td>3,300</td>
</tr>
<tr>
<td>Fall first-time, full-time undergraduates</td>
<td>734</td>
<td>814</td>
<td>889</td>
<td>859</td>
<td>860</td>
<td>559</td>
</tr>
<tr>
<td>Fall undergraduate transfer enrollment</td>
<td>628</td>
<td>630</td>
<td>669</td>
<td>546</td>
<td>600</td>
<td>n/a</td>
</tr>
<tr>
<td>Fall semester credit hours taken through Flower Mound</td>
<td>n/a</td>
<td>561</td>
<td>1,949</td>
<td>2,250</td>
<td>2,300</td>
<td>n/a</td>
</tr>
<tr>
<td>Fall graduate headcount enrollment</td>
<td>745</td>
<td>750</td>
<td>730</td>
<td>743</td>
<td>780</td>
<td>209</td>
</tr>
<tr>
<td>Fall total semester credit hours generated</td>
<td>69,744</td>
<td>70,546</td>
<td>71,432</td>
<td>69,428</td>
<td>71,645</td>
<td>n/a</td>
</tr>
<tr>
<td>Percent of fall undergraduate students receiving pell grants</td>
<td>36.96%</td>
<td>40.2%</td>
<td>38.9%</td>
<td>37.7%</td>
<td>40.0%</td>
<td>n/a</td>
</tr>
<tr>
<td>Percent of undergraduate Hispanic students enrolled in fall</td>
<td>16.5%</td>
<td>19.3%</td>
<td>20.5%</td>
<td>20.5%</td>
<td>21.0%</td>
<td>6.0%</td>
</tr>
<tr>
<td>Percent of undergraduate black students enrolled in fall</td>
<td>14.3%</td>
<td>14.5%</td>
<td>14.8%</td>
<td>14.5%</td>
<td>14.8%</td>
<td>5.0%</td>
</tr>
<tr>
<td>Number of distance education course sections offered per year</td>
<td>750</td>
<td>864</td>
<td>998</td>
<td>n/a</td>
<td>1,100</td>
<td>n/a</td>
</tr>
<tr>
<td>Fall semester credit hours generated by distance education</td>
<td>12,454</td>
<td>13,605</td>
<td>16,765</td>
<td>16,785</td>
<td>17,000</td>
<td>n/a</td>
</tr>
</tbody>
</table>

### B. Residential University Experience

<table>
<thead>
<tr>
<th>Year</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
<th>2019-20</th>
<th>2020-21 COPLAC Median</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of students living in campus run facilities for fall semester</td>
<td>1,500</td>
<td>1,566</td>
<td>1,643</td>
<td>1,616</td>
<td>1,650</td>
</tr>
<tr>
<td>Number of undergraduate students participating in a learning community during their first fall semester</td>
<td>319</td>
<td>325</td>
<td>286</td>
<td>186</td>
<td>n/a</td>
</tr>
<tr>
<td>Number of undergraduate students participating in EURECA</td>
<td>287</td>
<td>295</td>
<td>284</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>Percent of upper level undergraduate semester credit hours taught by tenure or tenure track faculty during the fall semester</td>
<td>57.5%</td>
<td>63.0%</td>
<td>61.2%</td>
<td>59.0%</td>
<td>63.0%</td>
</tr>
<tr>
<td>Number of undergraduate students participating in study abroad</td>
<td>78</td>
<td>115</td>
<td>143</td>
<td>n/a</td>
<td>n/a</td>
</tr>
</tbody>
</table>

### C. Student Success

<table>
<thead>
<tr>
<th>Year</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
<th>2019-20</th>
<th>2020-21 COPLAC Median</th>
</tr>
</thead>
<tbody>
<tr>
<td>Retention rate for first-time, full-time students</td>
<td>70.5%</td>
<td>66.8%</td>
<td>64.6%</td>
<td>67.4%</td>
<td>69.0%</td>
</tr>
<tr>
<td>Retention to the second fall for first-time, full-time students</td>
<td>55.3%</td>
<td>57.7%</td>
<td>51.4%</td>
<td>52.2%</td>
<td>55.0%</td>
</tr>
<tr>
<td>Four year graduation rate for first-time, full-time students</td>
<td>20.2%</td>
<td>20.8%</td>
<td>22.3%</td>
<td>23.8%</td>
<td>25.0%</td>
</tr>
<tr>
<td>Six year graduation rate for first-time, full-time students</td>
<td>41.4%</td>
<td>44.5%</td>
<td>42.1%</td>
<td>45.6%</td>
<td>47.0%</td>
</tr>
<tr>
<td>Six year graduation rate for transfer students</td>
<td>48.2%</td>
<td>50.9%</td>
<td>50.9%</td>
<td>50.0%</td>
<td>51.0%</td>
</tr>
<tr>
<td>Total degrees awarded in the academic year</td>
<td>1,309</td>
<td>1,409</td>
<td>1,452</td>
<td>1,400</td>
<td>730</td>
</tr>
<tr>
<td>Baccalaureate degrees awarded in the academic year</td>
<td>1,083</td>
<td>1,166</td>
<td>1,201</td>
<td>1,160</td>
<td>719</td>
</tr>
<tr>
<td>Master's degrees awarded in the academic year</td>
<td>226</td>
<td>243</td>
<td>251</td>
<td>240</td>
<td>53</td>
</tr>
<tr>
<td>Number of undergraduate degrees awarded in STEM fields</td>
<td>114</td>
<td>143</td>
<td>121</td>
<td>130</td>
<td>n/a</td>
</tr>
<tr>
<td>Number of undergraduate degrees awarded in health science fields</td>
<td>390</td>
<td>371</td>
<td>434</td>
<td>446</td>
<td>n/a</td>
</tr>
</tbody>
</table>

### D. Operational Effectiveness

<table>
<thead>
<tr>
<th>Year</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
<th>2019-20</th>
<th>2020-21 COPLAC Median</th>
</tr>
</thead>
<tbody>
<tr>
<td>State appropriations per full time equivalent students</td>
<td>$4,802</td>
<td>$5,194</td>
<td>$5,424</td>
<td>$5,225</td>
<td>n/a</td>
</tr>
<tr>
<td>Total expenditures per full time equivalent student</td>
<td>$21,905</td>
<td>$20,856</td>
<td>$23,972</td>
<td>$23,000</td>
<td>n/a</td>
</tr>
<tr>
<td>Student to faculty ratio</td>
<td>17.9</td>
<td>18.0</td>
<td>18.0</td>
<td>18.1</td>
<td>18.0</td>
</tr>
<tr>
<td>Administrative cost as percent of operating budget</td>
<td>8.10%</td>
<td>7.31%</td>
<td>7.43%</td>
<td>8.00%</td>
<td>n/a</td>
</tr>
<tr>
<td>Average semester credit hours earned by those awarded a bachelor's degree</td>
<td>146.3</td>
<td>144.6</td>
<td>143.8</td>
<td>143.0</td>
<td>n/a</td>
</tr>
<tr>
<td>Average undergraduate student debt for graduates who started at MSU</td>
<td>$29,398</td>
<td>$26,891</td>
<td>$29,335</td>
<td>$29,000</td>
<td>n/a</td>
</tr>
</tbody>
</table>

### E. Competitive Resources

<table>
<thead>
<tr>
<th>Year</th>
<th>2016-17</th>
<th>2017-18</th>
<th>2018-19</th>
<th>2019-20</th>
<th>2020-21 COPLAC Median</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total new gifts and commitments</td>
<td>$6,792,671</td>
<td>$15,913,359</td>
<td>$12,284,323</td>
<td>$7 million</td>
<td>n/a</td>
</tr>
<tr>
<td>Total university endowment at the end of the fiscal year.</td>
<td>$73,817,341</td>
<td>$80,942,000</td>
<td>$122,944,323</td>
<td>$82 million</td>
<td>$25 million</td>
</tr>
<tr>
<td>Amount of competitive state and federal grants received</td>
<td>$455,504</td>
<td>$493,848</td>
<td>$1,551,979</td>
<td>$500,000</td>
<td>n/a</td>
</tr>
</tbody>
</table>

The gray shaded areas are tabulated at end of fiscal year.
The Board of Regents, Midwestern State University, met in regular session at the MSU Texas Flower Mound building in Flower Mound, Texas, at 11:30 a.m., Thursday, August 1, 2019.

Individuals in attendance were as follows:

**Regents:**
- Mr. Caven Crosnoe, Chairman
- Ms. Nancy Marks, Vice Chair
- Ms. Tiffany Burks, Secretary
- Mr. Warren Ayres
- Mr. Tony Fidelie
- Mr. Oku Okeke
- Ms. Karen Liu Pang
- Dr. Shelley Sweatt
- Mr. Andrew Wolf, Student Regent

**University Administration:**
- President Suzanne Shipley
- Provost and Vice President for Academic Affairs James Johnston
- Vice President for Student Affairs Keith Lamb
- Vice President for University Advancement and Public Affairs Tony Vidmar
- Interim Vice President for Administration and Finance Valarie Maxwell
- Associate Vice President for Facilities Services Kyle Owen
- Director of Flower Mound Learning Center Randy Canivel
- Director of Athletics Kyle Williams
- General Counsel Barry Macha
- Chief Audit Executive Leigh Kidwell
- Controller Chris Stovall
- Director of Marketing and Public Information Julie Gaynor
- PC/Network Services Technician Richard Elliott
- Director of Board and Government Relations Debbie Barrow

**Media Representatives:**
- Ms. Emily Bjorkland, News Channel 6 (KAUZ)
- Mr. Vincent Sargent, News Channel 6 (KAUZ)

**Guest Presenters:**
- Texas A&M University System
  - Ms. Maria Robinson, Chief Investment Officer and Treasurer
  - Mr. Dave Verghese, Director of Investments

Per a duly posted notice and there being a quorum present, Chairman Crosnoe called the meeting to order at 11:30 a.m.
Opening Comments
Chairman Crosnoe welcomed everyone to the meeting. He reported that Regent Hessing could not attend because of a conflict in his schedule, and Vice President Dietz was ill and was also unable to attend. He acknowledged new Student Regent Andrew Wolf and welcomed him to service on the Board of Regents.

Public Comment
Chairman Crosnoe noted that no one signed up to provide public comment.

Reading and Approval of Minutes
19-107. The Board of Regents approved the minutes of the May 9, 2019 Board of Regents meeting as presented.

Investment Overview – Texas A&M University System (TAMUS) Update
19-108. Mr. Dave Verghese, Director of Investments with the Texas A&M University System, presented information regarding MSU’s investments in the TAMUS cash concentration pool and the System Endowment Fund (SEF) as shown in Attachment 1. After the presentation, he answered follow up questions related to private equity investments.

Faculty and Staff Reports
19-109. Ms. Marks noted that these reports would not be presented at this meeting, but would return as part of the agenda in November.

Student Government Report
19-110. Ms. Marks reported that this report would also not be presented, but would return in November.

Athletics Report
19-111. Athletics Director Williams briefly reviewed the Athletics Report provided in the Board Book and noted the expanded Lone Star Conference membership beginning September 1. He then reviewed the Academic Progress Plan that was also included in the Board Book. After discussion, it was agreed that Mr. Williams would follow up with the Board providing information on graduation rates by sport as well as a comparison of MSU’s GPA goals to LSC peers. Mr. Williams was asked to monitor progress in this area and provide regular updates to the Board.

Flower Mound Site Update
19-112. Director Randy Canivel provided information about the work being done to build and strengthen relationships with community college partners such as North Central Texas College and Tarrant County College, school districts, chambers of commerce, businesses, and individuals in the greater Flower Mound/Lewisville area. He noted that much of the work they are doing with the area chambers of commerce is to target adult learners in the area and to get the MSU Texas name into the community. President Shipley expressed her appreciation for the work Mr. Canivel and his team are doing and noted he serves as a great ambassador for MSU Texas.
Modified Pricing for Flower Mound Students in Specific Programs

19-113. Vice President Lamb reviewed the information provided in the Board Book regarding modified pricing structures that are in place for specific programs offered through the Flower Mound Site. He noted that the cost per credit hour shown in the Board Book for the EC-6 and BAAS programs for transfer students from North Central Texas College (NCTC) to MSU was $200. He reported that since the Board Book was finalized, the decision was made to mirror the current rate NCTC charges in-state students, which is currently $190 per semester credit hour. Dr. Lamb answered questions, and no action was taken regarding this information item.

Enrollment Reports – Summer 2019

19-114. On behalf of Vice President Dietz, Vice President Lamb reviewed the summer enrollment report, as shown in Attachment 2.

Enrollment Management Report

19-115. Regent Marks noted that Vice President Dietz prepared the Enrollment Management Report, which was in the Board Book for the Board’s information and review. The report was accepted without discussion.

Retention Report

19-116. Vice President Lamb and Provost Johnston reviewed the Retention Analysis Summary Part II, which was included in the Board Book. This presentation included information on the status of current retention initiatives as well as information from the National Survey of Student Engagement (NSSE). Provost Johnston also shared information regarding the growth in student participation in programs offered through the Tutoring and Academic Support Programs (TASP) during the last year.

August 2019 Graduating Class

19-117. Regent Marks noted that the administration recommended approval of the list of candidates for August 2019 graduation, as presented in the Board Book. She reported 252 students were on the list compared with 253 in 2018. Regent Marks moved approval of the list of candidates as presented. Regent Sweatt seconded the motion and it was approved.

Approval of 2020-2021 Academic Calendar

19-118. Regent Marks reported that the proposed academic calendar for the 2020-2021 academic year was recommended for approval, as shown in the Board Book. There being no questions, Regent Marks moved approval of the calendar presented. Regent Fidelie seconded the motion and it was approved.

Transcript Fee

19-119. Vice President Lamb noted that Vice President Dietz prepared information regarding the implementation of a new transcript fee, as shown in the Board Book. He stated that this recommended action would provide a seamless and more student-friendly process for students to access copies of their transcripts. He presented the administration’s recommendation that the Board authorize the assessment of a transcript fee of $5.50 as
soon as the agreement with the firm of Credentials Solutions is finalized and operational. He noted that the implementation of the new transcript service would be no later than spring 2020, with the hopes of a fall 2019 implementation.

Following a brief discussion, Regent Marks moved approval of this recommendation as presented. Regent Ayres seconded the motion and it was approved.

Low-Producing Degree Programs
19-120. Provost Johnston reviewed the information provided in the Board Book regarding the review of MSU’s low-producing programs by the Texas Higher Education Coordinating Board (THECB). As noted in the Board Book, three of MSU’s programs were identified as low producing for the Academic Year 19 and were recommended for closure. The administration recommended the following action items.

A. The administration requested authorization to request an exemption from the THECB for the Bachelor of Arts in Humanities and the Bachelor of Arts in Global Studies as these are both small programs, have no staffing or instructional costs that are directly related to the programs, and are both essential to an education in the liberal arts.

B. The administration has monitored the Master of Arts in Political Science for the last two years and developed plans to teach out and close the program. The administration requested authorization to proceed with this closeout plan to be complete by May 2020.

There being no discussion, Regent Marks moved approval of these recommendations as presented. Regent Sweatt seconded the motion and it was approved.

Addition of Academic Doctoral Degree Programs
19-121. Regent Marks noted that during the May Board meeting, the administration provided information to the Board regarding two doctoral degree programs that would be recommended for approval at this meeting, those being a Doctor of Education (Ed.D.) in Educational Leadership and a Doctor of Philosophy (Ph.D.) in Radiologic Sciences. She noted that the Board Book included an Executive Summary of these degree programs. She added that this was a major step for Midwestern State University as these would be the first doctoral programs offered by this institution. Provost Johnston thanked Dean Matthew Capps, Dean Jeff Killion, Dean Kathy Zuckweiler, the faculty, Mr. Chris Stovall, the Business Office staff, and everyone who provided the research, data, and information that went into the proposals. He reviewed the information provided and answered questions from the Board.

Following discussion, Regent Marks moved the Board of Regents approve expanding MSU’s academic offerings to include doctoral degrees through the Ed.D. in Educational Leadership and the Ph.D. in Radiologic Sciences, and forward these programs with the Board’s approval to the Texas Higher Education Coordinating Board and the Southern
Association of Colleges and School Commission on Colleges as presented. Regent Pang seconded the motion and it was approved.

**Wichita Falls Museum of Art at Midwestern State University – Ratification of Artwork Accessions**

19-122. Regent Marks moved the Board ratify the accessioning of the recommended artwork to the Museum’s Permanent Collection, as presented in the Board Book. Regent Sweatt seconded the motion and it was approved without discussion.

**Faculty Tenure**

19-123. Regent Marks noted that the Board would discuss this item in Executive Session later in the day.

**Recess**

The meeting recessed for lunch at 1:05 p.m. and resumed at 1:45 p.m.

**Summaries of Financial Support and Comprehensive Campaign Update**

19-124. Regent Ayres highlighted gifts received since the last meeting of the Board of Regents. Vice President Vidmar reviewed the summaries of financial support that were presented in the Board Book. This item was presented as a point of information only.

**United Regional Corporate Sponsorship Agreement and Naming**

19-125. Following a review of this item by Provost Johnston, he presented the administration’s recommendation to approve a corporate sponsorship agreement with United Regional Health Care System as presented in the Board Book. The administration further recommended approval of naming the United Regional Interprofessional Education Suite.

Regent Ayres moved approval of these recommendations as presented. Regent Pang seconded the motion, and it was approved.

**Financial Reports**

19-126. The April, May, and June 2019 Financial Reports were accepted upon a motion by Regent Ayres and second by Regent Sweatt.

**Investment Report**

19-127. The Board accepted the third quarter FY 19 investment report upon a motion by Regent Ayres and second by Regent Fidelie.

**Investment Policy Review**

19-128. Regent Ayres noted that the university’s investment policies must be reviewed and approved by the Board of Regents each year as required by the Texas Public Funds Investment Act. He noted the explanation in the Board Book, which indicated Policy 4.196 was recommended for approval without change and that several changes were recommended to Policy 4.182. There being no discussion, Regent Ayres moved approval of the university’s two investment policies as presented. Regent Okeke seconded the motion and it was approved.
FY 2018-2019 Item $50,000 & Under Approved per Board Authorization
19-129. Regent Ayres moved the Board ratify the budget change as presented. Regent Burks seconded the motion and it was approved.

Salary/Title/Position Changes in FY 19 Budget
19-130. The Board Book included reports of personnel changes that were presented for information only. The salary and title changes presented were ratified upon a motion by Regent Ayres and a second by Regent Fidelie.

University Accounts/Signature Authorizations
19-131. Regent Ayres reported that each year, the Board was asked to approve individuals authorized to sign on university bank accounts, purchase and sell investment instruments, perform normal banking transactions, and sign retirement documents. He noted that the names of the recommended individuals were presented in the Board Book. Regent Ayres moved approval of this item as presented. Regent Sweatt seconded the motion and it was approved.

Approval of Brokers/Dealers, Investment Vehicles, and Asset Holding Accounts
19-132. Regent Ayres reported that the administration recommended approval of the list of brokers/dealers, investment vehicles, and asset holding accounts presented in the Board Book. There being no discussion, Regent Ayres moved approval of this item as presented. Regent Burks seconded the motion and it was approved.

Construction Update
19-133. The Board Book included several reports on current construction projects for the Regents’ information. Associate Vice President Owen reviewed the photographs of current projects, as shown in the Board Book.

Sikes Lake Weir Removal
19-134. Mr. Owen presented the information shown in the Board Book related to Sikes Lake and the concrete weir the City of Wichita Falls is investigating removing as part of a flood control project. Following discussion, Regent Ayres moved this item be tabled to allow the administration time to get updated information regarding dredging costs and review options for funding. Regent Marks seconded the motion and it was approved.

Easement on Real Property Owned by the University and Leased by the YMCA
19-135. Mr. Macha reviewed the information provided in the Board Book related to an easement with ONCOR Electric. There being no discussion, Regent Ayres moved the Board authorize the President to work with the Chairman of the Board of Regents to approve an easement with ONCOR Electric Delivery Company LLC for the University’s real property leased by the YMCA as shown in the Board Book. Regent Burks seconded the motion and it was approved.

Tuition Revenue Bond (TRB) Projects Contingency Reallocation Authorization Request
19-136. President Shipley reviewed the information presented in the Board Book related to the reallocation of funds remaining after some of the TRB funded projects are finished.
The administration requested that the President be authorized to reallocate the contingency funds and adjust total project budgets accordingly amongst the approved TRB projects as necessary to complete their scopes of work. There being no discussion, Regent Ayres moved approval of this item as presented. Regent Marks seconded the motion and it was approved.

**Operating Budget for Fiscal Year 2020**

19-137. Regent Ayres noted that the Board had had an opportunity to review the proposed budget as well as the budget highlights and other budget information that was included in the Board Book. President Shipley thanked Interim Vice President Maxwell and the staff in her area for their work on the budget. She also pointed out that the Budget Oversight Committee, with faculty, staff, and student representation, again participated in the budget process. Ms. Maxwell reviewed the PowerPoint presentation that was included in the Board Book to provide an overview of the proposed budget. Following the presentation, Regent Ayres moved approval of the budget as presented. Regent Burks seconded the motion and it was approved without discussion.

**Compliance Update**

19-138. The Compliance Update was included in the Board Book as a point of information.

**Internal Audit Update**

19-139. The Internal Audit Update was included in the Board Book as a point of information.

**Fiscal Year 2020 Audit Plan**

19-140. Ms. Kidwell presented the audit plan for Board review and approval as required by the Texas Internal Auditing Act. Regent Burks moved approval of the plan as presented. Regent Ayres seconded the motion and it was approved.

**Modification of Midwestern State University Organization Chart**

19-141. Regent Burks noted that the new MSU organization chart included position and department title changes that were outlined in the Board Book. This item was presented as a point of information and was accepted without discussion.

**MSU Strategic Plan 2017-2022 Update**

19-142. President Shipley reviewed the update on the MSU Strategic Plan 2017-2022, which was presented in the Board Book. This item was presented as a point of information only.

**Statement of Expectations of the Members of the Board of Regents**

19-143. Mr. Macha reported that per the new *Bylaws of the Midwestern State University Board of Regents*, the Board must approve a statement of Board member expectations at least every two years. He commented on the draft of a *Statement of Expectations of the Members of the Board of Regents* that was included in the Board Book for the Board members’ review and study. Mr. Macha noted that final action of this document would be recommended at the November 2019 Board meeting.
Board Resolutions
19-144. Regent Burks moved approval of a Resolution of Appreciation for former Student Regent Leia De La Garza, as presented. Regent Sweatt seconded the motion and it was approved.

University Leadership Report
19-145. President Shipley provided information on outcomes from the legislative session, thoughts on Flower Mound, and the opening of Centennial Hall.

Board of Regents Meeting Dates – 2019-2020
19-146. The following dates for the 2019-2020 quarterly Board of Regents meetings were approved as noted below:

    November 7, 2019
    February 13, 2020
    May 14, 2020
    August 6, 2020

Executive Session
19-147. Chairman Crosnoe announced that the Board of Regents would go into Executive Session to discuss Items 19-123 (Faculty Tenure), 19-147A (Consultation with Attorney), 19-147B (Real Property), 19-147C (Prospective Gifts or Donations), and 19-147D (Personnel Matters), as allowed by Texas Government Code Sections 551.071, .072, .073, and .074. The Executive Session began at 3:00 p.m. Individuals remaining for the complete session were Regents Crosnoe, Burks, Marks, Sweatt, Ayres, Fidelie, Okeke, Pang, and Wolf; President Shipley, Mr. Macha, and Ms. Barrow. Provost Johnston remained for discussion of the first item, leaving at 3:10 p.m. The Executive Session concluded at 3:43 p.m.

Open Meeting
The open meeting resumed at 3:44 p.m. Mr. Crosnoe reported that the closed session was complete; the only items discussed were the items announced, and no votes were taken.

Faculty Tenure
19-123. Regent Marks moved the following individuals be granted tenure upon their hiring:

    John Ashbrook, Ph.D.    History
    Jennifer Dawes, Ph.D.    English

Regent Ayres seconded the motion and it was approved.

Real Property
19-147B. Regent Burks moved that the Board of Regents authorize the President to work with the Chairman of the Board of Regents to purchase the real property located at 2733 Midwestern Parkway in Wichita Falls, Texas (the “2733 Property”), with the purchase price not to exceed the independent appraised value of the property. She further
moved that the Board authorize the President, acting with the Chairman of the Board of Regents, to sell the real property located at 901 Midwestern Parkway in Wichita Falls, Texas, and/or the real property located at 917 Midwestern Parkway in Wichita Falls, Texas, both of which are owned by MSU, or to exchange one or both of them as part of the consideration for the purchase of the 2733 Property, the sale or deemed exchange price of such properties to be equal to or above their independent appraised value, and further authorize the President to execute any necessary contracts, affidavits, agreements, deeds, or other documents on behalf of the Board as necessary to conclude such transactions. Regent Marks seconded the motion and it was approved.

Closing Comments
Chairman Crosnoe thanked the Regents for their participation in the meeting. He noted that the next regular meeting of the Board would be Thursday, November 7, in Wichita Falls.

Adjournment
There being no further business, the meeting adjourned at 3:47 p.m.

I, Tiffany Burks, the fully appointed and qualified Secretary of the Midwestern State University Board of Regents, hereby certify that the above and foregoing is a true and correct copy of the minutes of the Midwestern State University Board of Regents meeting August 1, 2019.

Tiffany Burks, Secretary
Midwestern State University
Board of Regents

ATTACHMENTS:
1. Texas A&M University System Investment Presentation
2. Enrollment Reports – Summer 2019
Midwestern State University Investment Overview

August 1, 2019
Cash Concentration Pool

Investment Objective

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

Performance Periods Ended June 30, 2019

<table>
<thead>
<tr>
<th></th>
<th>1-YR</th>
<th>5-YR</th>
<th>10-YR</th>
<th>15-YR</th>
<th>Since Inception</th>
</tr>
</thead>
<tbody>
<tr>
<td>Long Term Cash Concentration Pool</td>
<td>5.8%</td>
<td>4.8%</td>
<td>7.6%</td>
<td>5.5%</td>
<td>6.9%</td>
</tr>
<tr>
<td>Long Term Balanced Index</td>
<td>5.4%</td>
<td>4.3%</td>
<td>6.8%</td>
<td>5.4%</td>
<td>6.2%</td>
</tr>
</tbody>
</table>
Recent Policy Changes – Cash Concentration Pool

1. **Liquidity Portfolio has been combined with Fixed Income.**
   Eliminated additional layer of liquidity and allows these assets to be invested with a longer time horizon.

2. **Allocation to Bank Loans to include other Non-Traditional Credit investments.**
   Diversifies Fixed Income portfolio while increasing expected returns.
## Long Term Cash Concentration Pool
### Asset Allocation

<table>
<thead>
<tr>
<th>Asset Class</th>
<th>Target Allocation</th>
<th>6/30/2019 Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fixed Income</td>
<td>34.78%</td>
<td>33.82%</td>
</tr>
<tr>
<td>Domestic Equity</td>
<td>21.74%</td>
<td>23.18%</td>
</tr>
<tr>
<td>International Equity</td>
<td>21.74%</td>
<td>21.72%</td>
</tr>
<tr>
<td>Absolute Return</td>
<td>21.74%</td>
<td>21.28%</td>
</tr>
</tbody>
</table>
Cash Concentration Pool

Midwestern State – Operating Funds

July 1, 2018 to June 30, 2019

Book Value as of June 30, 2018: $24,956,640
Net Earnings Added Back*: 1,248,023
Book Value as of June 30, 2019: $26,204,663

Unrealized Appreciation: $2,888,384
Market Value as of June 30, 2019: $29,093,047

*Interest, dividends and realized gains, less fees
(total of $5,204,753 since 10/1/2013)
System Endowment Fund

Investment Objectives

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

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

Performance Periods Ended June 30, 2019

<table>
<thead>
<tr>
<th></th>
<th>1-YR</th>
<th>5-YR</th>
<th>10-YR</th>
<th>15-YR</th>
<th>Since Inception</th>
</tr>
</thead>
<tbody>
<tr>
<td>System Endowment Fund</td>
<td>7.0%</td>
<td>6.3%</td>
<td>9.1%</td>
<td>6.8%</td>
<td>8.2%</td>
</tr>
<tr>
<td>Balanced Index</td>
<td>5.5%</td>
<td>5.9%</td>
<td>7.9%</td>
<td>5.9%</td>
<td>7.8%</td>
</tr>
</tbody>
</table>
Recent Policy Changes – System Endowment Fund

1. Increased Private Equity from 15% to 25% and decreased both Domestic and International Equity from 20% to 15% each. Allocation change is expected to enhance returns and align asset allocation closer to peers.

2. Allocation to Bank Loans to include other Non-Traditional Credit investments. Same change as in the Cash Concentration Pool.
### System Endowment Fund

#### Asset Allocation

<table>
<thead>
<tr>
<th>Asset Class</th>
<th>Target Allocation</th>
<th>6/30/2019 Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fixed Income</td>
<td>15.0%</td>
<td>12.9%</td>
</tr>
<tr>
<td>Domestic Equity</td>
<td>15.0%</td>
<td>20.2%</td>
</tr>
<tr>
<td>International Equity</td>
<td>15.0%</td>
<td>18.7%</td>
</tr>
<tr>
<td>Real Assets*</td>
<td>15.0%</td>
<td>12.8%</td>
</tr>
<tr>
<td>Absolute Return</td>
<td>15.0%</td>
<td>14.9%</td>
</tr>
<tr>
<td>Private Equity</td>
<td>25.0%</td>
<td>20.1%</td>
</tr>
<tr>
<td>Cash</td>
<td>0%</td>
<td>0.4%</td>
</tr>
</tbody>
</table>

*Real Assets includes timber, real estate, and energy investments.*
System Endowment Fund
Midwestern State - Endowment Accounts
May 31, 2019

Investment Transfers $15,498,751
Market Value $16,128,617

Units 2,456,378
FY 2019 Payout (estimated) $713,068
FY 2020 Payout (estimated) $773,061

The quarterly payout is calculated on an annual basis and is the average of the quarterly market value for the 20 fiscal quarters ending the previous February, multiplied by 5.0% and divided by 4.
System Endowment Fund

Quarterly Endowment Spending Rate

<table>
<thead>
<tr>
<th>Year</th>
<th>Spending Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY 2015</td>
<td>$0.066970</td>
</tr>
<tr>
<td>FY 2016</td>
<td>$0.070265</td>
</tr>
<tr>
<td>FY 2017</td>
<td>$0.072378</td>
</tr>
<tr>
<td>FY 2018</td>
<td>$0.073954</td>
</tr>
<tr>
<td>FY 2019</td>
<td>$0.076614</td>
</tr>
<tr>
<td>FY 2020</td>
<td>$0.078679</td>
</tr>
</tbody>
</table>
## Investment Pool Comparison

<table>
<thead>
<tr>
<th>Asset Class</th>
<th>Long Term CCP Target Allocation</th>
<th>SEF Target Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fixed Income</td>
<td>34.8%</td>
<td>15.0%</td>
</tr>
<tr>
<td>Domestic Equity</td>
<td>21.7%</td>
<td>15.0%</td>
</tr>
<tr>
<td>International Equity</td>
<td>21.7%</td>
<td>15.0%</td>
</tr>
<tr>
<td>Absolute Return</td>
<td>21.7%</td>
<td>15.0%</td>
</tr>
<tr>
<td>Real Assets</td>
<td>-</td>
<td>15.0%</td>
</tr>
<tr>
<td>Private Equity</td>
<td>-</td>
<td>25.0%</td>
</tr>
</tbody>
</table>

### Long Term CCP Objectives:
- Grow reserves
- Meet operating needs
- Preserve capital

### SEF Objectives:
- Dependable payout
- Increase fund value
# Enrollment Reports

## Summer I 2019

<table>
<thead>
<tr>
<th>Classification</th>
<th>2018 On-line Only</th>
<th>2019 On-line Only</th>
</tr>
</thead>
<tbody>
<tr>
<td>New First-time Freshmen</td>
<td>10</td>
<td>9</td>
</tr>
<tr>
<td>Freshmen</td>
<td>88</td>
<td>90</td>
</tr>
<tr>
<td>Sophomores</td>
<td>244</td>
<td>218</td>
</tr>
<tr>
<td>Juniors</td>
<td>442</td>
<td>404</td>
</tr>
<tr>
<td>Seniors</td>
<td>899</td>
<td>850</td>
</tr>
<tr>
<td>Post-Baccalaureate</td>
<td>55</td>
<td>58</td>
</tr>
<tr>
<td>Graduate Degree-Seeking</td>
<td>382</td>
<td>320</td>
</tr>
<tr>
<td><strong>Total Headcount</strong></td>
<td><strong>2,120</strong></td>
<td><strong>1,949</strong></td>
</tr>
<tr>
<td><strong>Semester Credit Hours</strong></td>
<td><strong>10,043</strong></td>
<td><strong>9,656</strong></td>
</tr>
</tbody>
</table>

## Summer II 2019

<table>
<thead>
<tr>
<th>Classification</th>
<th>2018 On-line Only</th>
<th>2019 On-line Only</th>
</tr>
</thead>
<tbody>
<tr>
<td>New First-time Freshmen</td>
<td>22</td>
<td>10</td>
</tr>
<tr>
<td>Freshmen</td>
<td>55</td>
<td>59</td>
</tr>
<tr>
<td>Sophomores</td>
<td>175</td>
<td>138</td>
</tr>
<tr>
<td>Juniors</td>
<td>311</td>
<td>275</td>
</tr>
<tr>
<td>Seniors</td>
<td>624</td>
<td>595</td>
</tr>
<tr>
<td>Post-Baccalaureate</td>
<td>9</td>
<td>26</td>
</tr>
<tr>
<td>Graduate Degree-Seeking</td>
<td>218</td>
<td>188</td>
</tr>
<tr>
<td><strong>Total Headcount</strong></td>
<td><strong>1,414</strong></td>
<td><strong>1,291</strong></td>
</tr>
<tr>
<td><strong>Semester Credit Hours</strong></td>
<td><strong>5,920</strong></td>
<td><strong>5,337</strong></td>
</tr>
</tbody>
</table>