

TEXAS TECH UNIVERSITY
TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
LUBBOCK, TEXAS

MINUTES OF THE BOARD OF REGENTS
OF
TEXAS TECH UNIVERSITY

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TEXAS TECH UNIVERSITY
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AUGUST 22, 1997

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Minutes

Board of Regents
August 22, 1997

M121/H100

The Board of Regents of Texas Tech University met in regular session on Friday, August 22, 1997, at 8:30 a.m. in the Board of Regents suite on campus. The following regents were present: Mr. Edward E. Whitacre, Jr., Chairman; Dr. Bernard A. Harris, Jr., Vice Chair; Mr. J. Robert Brown; Mr. John W. Jones; Dr. Nancy E. Jones; Dr. Carl E. Noe; Mr. James E. Sowell; Mr. J. Michael Weiss; and Mr. Alan B. White. The following officials and staff were present: Mr. John T. Montford, Chancellor; Mr. James Crowson, Deputy Chancellor; Dr. Donald R. Haragan, President, TTU; Dr. David Smith, President, TTUHSC; Dr. John Opperman, Vice Chancellor for Administration and Finance; Mr. Ben Lock, Executive Assistant to the Chancellor; Mr. Pat Campbell, Vice Chancellor and General Counsel; Mr. Ed McGee, Assistant Vice Chancellor for Investments; Mr. William G. Wehner, Vice Chancellor for Development; Mr. Mike Sanders, Vice Chancellor for Governmental Relations; Dr. John Burns, Provost, TTU; Dr. Virginia M. Sowell, Vice Provost, TTU; Mr. Jim Brunjes, Vice President for Fiscal Affairs, TTU; Mr. Richard Butler, Vice President for Operations and Student Support Services TTUHSC; Mr. Elmo Cavin, Vice President for Fiscal Affairs, TTUHSC; Dr. Monty Davenport, Vice President for Operations; Dr. Robert H. Ewalt, Vice President for Student Affairs; Dr. David Schmidly, Vice President and Dean of the Graduate School; Dr. Thomas G. Newman, Associate Vice President for Computing and Information Technology; Mr. Steve Pruitt, Associate Vice President for Business Affairs and Comptroller; Mr. Glen J. Provost, Vice President for Federal Relations TTUHSC; Mr. Michael Wilson, Assistant Vice President for Budget, TTU; Dr. Jorge I. Aunon, Dean, College of Engineering; Dr. Manuel de la Rosa, Regional Dean, TTUHSC at El Paso; Dr. Elizabeth G. Haley, Dean, College of Human Sciences; Dr. Joel Kupersmith, Dean, College of Medicine, TTUHSC; Dr. Shirley McManigal, Academic Dean, Allied Health Administration TTUHSC; Dr. W. Frank Newton, Dean, Law School; Dr. Carl H. Stem, Dean, College of Business Administration; Dr. E. Lee Taylor, Regional Dean, TTUHSC at Amarillo; Ms. Theresa Drewell, Director, Facilities Planning and Construction; Ms. Frances Grogan, Director, Office of Internal Audit; Dr. Kathleen Hennessey, Director, International Center for Informatics Research; Dr. Margaret Lutherer, Director, News and Publications; Mr. Artie Limmer, Assistant Director and Manager of Photographic Services, News and Publications; Ms. Cathy Allen, Special Assistant to the Chancellor for Cultural Diversity; Mr. Jason Bernstein, *University Daily*; Ms. Caren Carnefix, *University Daily*; Ms. Blythe Clayton, Arts & Sciences Student; Ms. Katherine Dixon, President, Student Senate, TTUHSC; Dr. Ernest B. Fish, Professor, Range, Wildlife, and Fish Management; Stephanie Ford; Dr. Edward V. George, Professor of Classical and Modern Languages and Literature and President, Faculty Senate, TTU; Dr. John Griswold, Department of Surgery and Medical Director of Timothy J. Harnar Burn Center at UMC; Ms. Penny Harkey; Mr. Matthew Henry, *Avalanche-Journal*; Dr. John Howe, Professor of History; Mrs. Marcie Johnston, Executive Director to the Board of Regents; Dr. Ernst W. Kiesling, Professor, Civil Engineering; Mr. James P. Laible; Dr. Lorenz B. Lutherer, Physiology/Internal Medicine, TTUHSC; Mr. Dudley McCauley, Assistant Dean for Finance and Administration, TTUHSC Amarillo; Mrs. Debbie Montford, Office of the Chancellor; Mr. Brian Moore, Student Government Association; Mr. John Morgai; Dr. Kenneth M. Nugent, Department of Internal Medicine and Chief of Pulmonary Division TTUHSC; Ms. Carol Phillips, Office of the Chancellor; Dr.

Bill Piatt, J.H. Edgar Professor of Law, TTU; Ms. Ginger Pope, *University Daily*; Dr. Reed Richardson, Professor of Agricultural Sciences and Natural Resources, TTU; Dr. Nancy Ridenour, Associate Professor and Associate Dean, Education, School of Nursing TTUHSC; Ms. Glenda Robinson, Office of the General Counsel; Dr. Jo Ann Shroyer, Chairperson and Associate Professor, College of Human Sciences; Michael Sommermeyer, Associate Director, University Relations, News and Publications; Dr. Ronald E. Sosebee, Professor and Chairman, Range, Wildlife, and Fish Management, TTU; Mr. Russell Thomasson, Student Government Association; Dr. Richard Tock, Professor of Civil Engineering; and Mr. John Walls, Associate Director, News and Publications.

- M122/H101 Chairman Whitacre called the meeting to order at approximately 8:30 a.m. and then called on Mr. William G. Wehner to give the invocation.
- M123/H102 Chairman Whitacre called on Chancellor Montford who, speaking from the materials attached hereto as Attachment No. M1/H1, introduced Ms. Frances Grogan, Director, Office of Internal Audit; Dr. Edward V. George, Professor of Classical and Modern Languages and Literature, and President, Faculty Senate, TTU; Mr. Russell Thomasson, Senior Accounting Major, President, Student Association, TTU; Ms. Katie Dixon, Junior Nursing Major, President, Student Senate, TTUHSC; Dr. Reed Richardson, Professor of Agricultural Sciences and Natural Resources, TTU; Dr. Richard Tock, Professor of Civil Engineering, TTU; Dr. Ernst W. Kiesling, Professor of Civil Engineering, TTU; Dr. Bill Piatt, J. H. Edgar Professor of Law, TTU; Dr. John A. Griswold, Department of Surgery and Medical Director of Timothy J. Harnar Burn Center at UMC; Dr. Joel Kupersmith, Dean, School of Medicine, TTUHSC; Dr. Lorenz Lutherer, Physiology/Internal Medicine, TTUHSC; Dr. Kenneth M. Nugent, Department of Internal Medicine and Chief of the Pulmonary Division, TTUHSC; Dr. Manuel de la Rosa, Regional Dean, TTUHSC at El Paso. The Chancellor also recognized in absentia Dr. John Abernathy, Dean, College of Agriculture and Natural Resources, and Dr. Eileen Johnson.
- M124/H103 Chairman Whitacre announced a closed session of the Board by making the following statement: "The Board of Regents of Texas Tech University will now convene into Executive Session as authorized by Chapter 551 of the Texas Government Code and specifically Sections 551.071, 551.072, 551.073, 551.074, 551.075, and 551.076."
- M125/H104 At the conclusion of its closed session, the board reconvened into open session at approximately 10:00 a.m. for the purpose of convening into meetings of the Board's standing committees. Chairman Whitacre announced the locations of the committee meetings as follows: the Academic, Clinical and Student Affairs Committee, Room 102; the Finance and Administration Committee, Room 206; and the Facilities Committee, Room 201. The committees met simultaneously.
- M126/H105 Chairman Whitacre announced at approximately 10:45 a.m. that the Board of Regents would reconvene into its second open session, for the purpose of considering reports of its standing committees, meeting as a committee of the whole, and conducting other business.
- M127/H106 Regent Alan White moved that the minutes of the meeting of May 9, 1997, be approved. Regent Nancy Jones seconded the motion, and the motion passed unanimously.

CW35 Chairman Whitacre announced the following: "The Board of Regents will now consider items as a Committee of the Whole. For the purpose of facilitating action on items to be considered, I am asking Vice Chair Harris to preside for the next 18 items."

CW36 Regent Harris called on Deputy Chancellor Jim Crowson to present the item concerning the Institute for Environmental and Human Health. Discussion by the Board followed the presentation. At the conclusion of the discussion, Regent Harris moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Chancellor to execute renewable short-term lease(s) with the U.S. Air Force Base Conversion Agency for real and personal property at the Reese Air Force Base which will include buildings to house the Institute for Environmental and Human Health.

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Chancellor to execute a public benefit transfer of surplus federal real and personal property for educational purposes with the United States Department of Education which will include buildings at the Reese Air Force Base to house the Institute for Environmental and Human Health and in furtherance thereof adopts the resolution in the form prescribed by the Department of Education and attached hereto as Attachment No. CW1.

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Offices of the Chancellor, the President of Texas Tech University, and the President of Texas Tech University Health Sciences Center, as appropriate, to proceed with the project, to establish a project budget, approval of the schematic design and authorization to proceed with documents for submittal to the Texas Higher Education Coordinating Board for review and approval, and upon approval, to proceed with contract documents and the receipt of bids, and to award a construction contract for the renovation of existing Reese Air Force Base facilities for The Institute of Environmental and Human Health.

"RESOLVED, that the renovation of existing Reese Air Force for The Institute for Environmental and Human Health project budget is established at \$6,750,000."

Regent Noe seconded the motion, and the motion passed unanimously.

CW37 Regent Harris called on Deputy Chancellor Jim Crowson to present the item concerning an increase in the scope and fee associated with the Campus Master Plan. Discussion by the Board followed the presentation. At the conclusion of the discussion, Regent Harris moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to increase the scope of work required for the Campus Master Plan.

"RESOLVED, that the project budget for the increased scope of work required for the Campus Master Plan is established at \$725,000."

Regent Noe seconded the motion, and the motion passed unanimously.

- CW38 Regent Harris called on Deputy Chancellor Jim Crowson to present the item concerning designation of an employee as holding only position who has more than one appointment within or between Texas Tech University and Texas Tech University Health Sciences Center. Discussion by the Board followed the presentation. At the conclusion of the discussion, Regent Harris moved approval of the following resolution:

"RESOLVED, that an employee who has more than one appointment within or between Texas Tech University and Texas Tech University Health Sciences Center shall be designated as holding one position."

Regent John Jones seconded the motion, and the motion passed unanimously.

- CW39 Regent Harris called on Deputy Chancellor Jim Crowson to present the item concerning an amendment to the Master Resolution. Discussion by the Board followed the presentation. At the conclusion of the discussion, Regent Harris moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University approves the Resolutions amending the Master Resolution establishing the Revenue Financing System, substantially in the form attached hereto as Attachment No. CW2, under the authority and responsibility of the Board of Regents of Texas Tech University."

Regent Nancy Jones seconded the motion, and the motion passed unanimously.

- CW 40 Regent Harris called on Deputy Chancellor Jim Crowson to present the item concerning proposed funding strategies for capital construction and capital equipment acquisition plans for Texas Tech University and Texas Tech University Health Sciences Center. Discussion by the Board followed the presentation. At the conclusion of the discussion, Regent Harris moved approval of the following resolutions:

"RESOLVED, that the working list of "Priority E&G Projects for TTU," contained in Resolution B of the Four-Year Capital Projects Plan, be replaced with the following:

Priority E&G Projects for TTU

Project	Estimated Cost (in millions)
1) English/Philosophy/Education Complex	42.0
2) Research Science Building	35.0
3) Animal Science Building	8.0
4) Library Expansion	10.0
5) Band Hall	8.0
6) Art Building	10.0
7) Investment in Master Plan Infrastructure	18.0
8) Deferred Maintenance	8.0
9) Observatory	2.0
10) Theatre Renovation	6.0
11) Renovation of Architecture Building	5.0
12) Major Equipment	16.0
13) Combine Physical Education Programs (Renovate North [formerly Men's] Gym to accommodate programs from Women's Gym)	3.
14) Deferred Maintenance	8.0
Total	179.0

"RESOLVED, that the working list of "Priority E&G Projects for TTUHSC," contained in Resolution B of the Four-Year Capital Projects Plan, be replaced with the following:

Priority E&G Projects for TTUHSC

Project	Estimated Cost (in millions)
1) Amarillo: (Pharmacy 3rd floor Finishout; Relocation of Academic Building; library /auditorium; School of Allied Health	*30.0
2) Midland: Cardiology Expansion	2.5
3) Lubbock: Primary Care Clinical Education Facility	19.2
4) Midland: Physician Assistant Program	5.0
5) Lubbock Auditorium/Classroom Facility	14.6
6) Investment in Master Plan Infrastructure	5.0
7) Lubbock Patio Enclosure	7.5
8) Deferred Maintenance	10.0
9) Major Equipment	7.5
10) El Paso: Addition of 3rd floor Clinical Education Facility	4.0
11) Lubbock: Support Services Building	6.0
12) Lubbock: Complete Pod C basement	2.8
Total	114.1

**No more than \$22 million of bond proceeds will be spent on this project.*

"RESOLVED, that the working list of "Priority Auxiliary and Other Non-E&G Projects for TTU and TTUHSC," contained in Resolution C of the Four-Year Capital Projects Plan, be replaced with the following:

Priority Auxiliary and Other Non-E&G Projects for
TTU and TTUHSC

		Estimated Cost
Project		(in millions)
1)	Parking Structure, Phase I	4.2
2)	Conference Bonfire Circle	0.275
3)	Parking Structure, Phase III	7.5
4)	Campus Hotel	10.0
5)	Athletic Complex Renovation/Upgrades	48.0
6)	Visitor Center	0.5
7)	Deferred Maintenance	10.0
8)	Alumni/Student Pavilion	0.75
9)	Chancellor's Residence	*--
10)	Student Recreation	12.0
11)	Museum Exhibit Hall	1.5
Total		102.225

**Construction costs will be equal to the total of the proceeds from the sale of the current official residence and private donations received for this purpose.*

"RESOLVED, that the Office of the Chancellor and the Presidents of TTU and TTUHSC continue to strive to identify additional funds from state, federal, and private sources in the amount of \$152.55 million in order that the four-year Capital Projects Plan (as updated) may be completed as nearly as possible by August 31, 2001."

Regent Robert Brown seconded the motion, and the motion passed unanimously.

CW41

Regent Harris called on Deputy Chancellor Jim Crowson to present the item relating to establishing the Texas Tech Assistance Program for eligible employees of Texas Tech University and Texas Tech University Health Sciences Center. Discussion by the Board followed the presentation. After the discussion, Regent Harris moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the establishment of the Texas Tech Assistance program for eligible employees of Texas Tech University and Texas Tech University Health Sciences Center to cover the cost of the Institutional Tuition Fee (formerly the General Use Fee), Student Services Fee, Medical Services Fee and University Center Fee, effective for the Fall Semester, 1996.

"RESOLVED, that the Board of Regents of Texas Tech University approves the cost to the General Use Fee to be \$1,250,000 with a net cost to the General Use Fee of \$475,000 for the Texas Tech Assistance

program. For FY 1997, this program will be funded from available reserves.

"RESOLVED, that the Board of Regents of Texas Tech University authorizes each President, as appropriate, to implement the Texas Tech Assistance program from Institutional Tuition (General Use Fees) for its employees to cover the cost of the Institutional Tuition (General Use Fee), Student Services Fee, Medical Services Fee and University Center Fee effective FY 1997.

"RESOLVED that the Chancellor is authorized to make the necessary editorial changes to accomplish changes necessary for the Texas Tech Assistance program from waivers in Board of Regents Policies 09.03 (Student Services Fee), 09.04 Institutional Tuition (General Use Fee), 09.05 (University Center Fee), and 09.06 (Medical Services Fee)."

Regent Nancy Jones seconded the motion, and the motion passed unanimously.

CW42

Regent Harris called on Deputy Chancellor Jim Crowson to present the item relating to revisions to *Board of Regents' Policy 05.06*, Investment Policy Statement for Endowment funds and the selection of three new investment management firms. Discussion by the Board followed the presentation. After the discussion, Regent Harris moved approval of the following resolutions:

"RESOLVED, that the Board of Regent of Texas Tech University approves the revisions to Board of Regents' Policy 05.06 as set out in the legislative format in the attachment attached hereto as Attachment CW3.

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor, after consultation with the Investment Advisory Committee, to select an investment manager from each of the following three investment categories: small cap growth, small cap value, and international."

Regent Jim Sowell seconded the motion. Regent Weiss expressed concern with the use of investment managers in the manner suggested by the resolution. The motion passed by an 8-1 vote, with Regent Weiss voting "no."

CW43

Regent Harris called on Deputy Chancellor Jim Crowson to present the item relating to the waiver of fees for distance learning or off-campus courses. Discussion by the Board followed the presentation. After the discussion, Regent Harris moved approval of the following resolution:

"RESOLVED, the Board of Regents of Texas Tech University and Texas Tech University Health Sciences Center as provided by Section 544/214, Education Code, authorizes the President to approve the waiver of student fees for students enrolled only in distance learning courses or other off-campus courses of the institutions when the student cannot reasonably be expected to use the activities, services or facilities on which the fee is based; provided, however, that the waiver is dependent upon certification by the Vice Chancellor for Finance and Administration that the fee waiver will not materially impact the ability of

the institutions to service a department on which the fee is based or to offer or operate the particular activity, service or facility supported by the fees."

Regent Nancy Jones seconded the motion, and the motion passed unanimously.

CW44

Regent Harris called on Deputy Chancellor Jim Crowson to present the item relating to Guidelines for Periodic Evaluation of Tenured Faculty. Discussion by the Board followed the presentation. After the discussion, Regent Harris moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University does hereby adopt the document attached hereto as Attachment No. CW4 entitled, 'Guidelines for Periodic Evaluation of Tenured Faculty' (the 'Guidelines')."

"RESOLVED, that the Office of the Board of Regents is directed to file the Guidelines along with any other materials deemed necessary by the Office of the Chancellor with the Texas Higher Education Coordinating Board before September 1, 1997."

"RESOLVED, that the Office of the Chancellor and the administrations of Texas Tech University and Texas Tech University Health Sciences Center, after having received comments and advice from the faculty on the implementation of the Guidelines, shall recommend for approval at the next regularly scheduled meeting of the Board of Regents such procedures, rules, and regulations as are necessary to comply with the newly enacted provisions of Subchapter Z of Chapter 51, Education Code."

Regent Brown seconded the motion, and the motion passed unanimously.

CW45

Regent Harris called on Deputy Chancellor Jim Crowson to present the item relating to the Texas Tech Research Foundation. Discussion by the Board followed the presentation. After the discussion, Regent Harris moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University hereby appoints Chancellor John T. Montford, Deputy Chancellor James L. Crowson, and President Donald R. Haragan to the Board of Directors of the Texas Tech Research Foundation."

Regent White seconded the motion, and the motion passed unanimously.

CW46

Regent Harris called on Deputy Chancellor Jim Crowson to present the item relating to the Board of Directors of Texas Tech Foundation, Inc. Discussion by the Board followed the presentation. After the discussion, Regent Harris moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University appoints John Anderson, Gayle Earls, David Hassler, Richard Howard, Bob Macy, David Seim, George Sell, Chuck Strehli, Betsy Triplett-Hurt

and Jack Wood to the Board of Directors of Texas Tech Foundation, Inc. for the period September 1, 1997 through August 31, 2000."

Regent Noe seconded the motion, and the motion passed unanimously.

CW47 At the conclusion of the meeting of the committee of the whole, the Board considered reports from its standing committees.

M128/H107 Chairman Whitacre called on Regent Noe, Chair, to give the report of the Academic, Clinical and Student Affairs Committee.

TTU Action Items

M129 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University approves promotion for Dr. Nancy Slagle, Department of Art, from Assistant to Associate Professor, effective September 1, 1997 and the granting of academic tenure to Dr. Nancy Slagle, Department of Art, Texas Tech University, effective this date."

The motion passed unanimously.

M130 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University approves appointment with tenure for Dr. John R. Abernathy in the Department of Plant and Soil Sciences, Dr. Ronald Kendall, Dr. Richard Dickerson, Dr. Ken Dixon, Dr. Tom LaPoint, Dr. George Cobb and Dr. Mike Hooper in the Department of Biological Sciences."

The motion passed unanimously.

M131 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University ratifies the following leaves of absence:

- (1) without pay for Barbara Morgan-Fleming, Assistant Professor, College of Education, for the period September 1, 1997, through August 31, 1998. The purpose of this leave is to accompany her husband to Italy, learn a new language and study education in Italy.*
- (2) without pay for Susan Profilet, Assistant Professor, College of Human Sciences, for the period September 1, 1997, through August 31, 1998. The purpose of this leave is to live with her husband while continuing to conduct research. Leave will be taken in Groves, Texas.*

- (3) *without pay for Hendrika Buelinckx, Assistant Professor, College of Architecture, for the period September 1, 1997, to January 15, 1998. The purpose of this leave is to develop the final draft of the book to be titled "Design Fundamentals." Leave will be taken in Belgium.*
- (4) *without pay for James D. Mertes, Professor, College of Agricultural Sciences & Natural Resources, for the period September 1, 1997, through August 31, 1998. The purpose of this leave is to enhance his teaching knowledge. Leave will be taken at Michigan State University.*
- (5) *without pay for S. Scott MacDonald, Associate Professor, College of Business Administration, for the period September 1, 1997, through May 31, 1998. The purpose of this leave is to pursue research and personal development at Southern Methodist University in Dallas, Texas.*
- (6) *without pay for Sue Tolleson-Rinehart, Professor, College of Arts & Sciences, for the period September 1, 1997, through January 15, 1998. The purpose of this leave is to continue the study of women and politics. Leave will be taken in Chapel Hill, North Carolina.*

"RESOLVED, that the Board of Regents of Texas Tech University ratifies the name change of the Department of Mathematics to the Department of Mathematics and Statistics.

"RESOLVED, that the Board of Regents of Texas Tech University ratifies the establishment of the Northwest Texas International Trade Center.

"RESOLVED, that the Board of Regents of Texas Tech University ratifies the establishment of the Center for Acoustical Studies.

"RESOLVED, that the Board of Regents of Texas Tech University ratifies the commissioning of the following peace officers: James H. Minton, effective April 3, 1997; Chad J. Demaray, Timothy L. Jarratt and Christopher D. McCall, effective May 7, 1997; and Gerardo Arranaga, effective July 1, 1997."

The motion passed unanimously.

TTUHSC Action Items

H108

Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University approves the promotion to professor and the granting of tenure to J. Manuel de la Rosa, M.D., Texas Tech University Health Sciences Center School of Medicine in El Paso, effective this date."

The motion passed unanimously.

- H109 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University confers upon Dr. Donald S. Mac Nair emeritus status in the School of Medicine and Ms. Darlene Norton emeritus status in the School of Nursing."

The motion passed unanimously.

- H110 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that with the stipulation that no personnel or compensation actions with reference to Jane Ann Colmer, Ph.D., will be taken by Abdul N. Hamood, Ph.D., the Board of Regents of Texas Tech University waives the application of Regents' Policy 04.22."

The motion passed unanimously.

- H111 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the planning and implementation of an upper-division baccalaureate degree educational program for physician assistants in the Department of Diagnostic and Primary Care in the School of Allied Health."

The motion passed unanimously.

- H112 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents delegates the authority to act on behalf of the Texas Tech University Health Sciences Center in all actions reserved to the sole Member of Texas Tech Physician Associates to John T. Montford, Chancellor."

The motion passed unanimously.

- H113 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to negotiate and sign the contract between Texas Tech University Health Sciences Center and Lubbock Regional Mental Health & Mental Retardation Center, an Executive Summary of which is attached hereto as Attachment No. H1, to provide adult and child outpatient and inpatient psychiatric services from September 1, 1997 through August 31, 1998."

The motion passed unanimously.

- H114 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to approve the renewal agreement with Baptist St. Anthony's Hospital Corporation, an Executive Summary of which is attached hereto as Attachment No. H2, for funding of the Department of Family Medicine for the period September 1, 1997 through August 31, 2003."

The motion passed unanimously.

- H115 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to approve the renewal agreement with Medical Center Hospital, an Executive Summary of which is attached hereto as Attachment No. H3, to provide funding for resident services and faculty support from October 1, 1997 through September 30, 1998."

The motion passed unanimously.

- H116 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to approve the agreement with Methodist Children's Hospital, an Executive Summary of which is attached hereto as Attachment No. H4, for pediatric surgery services from August 1, 1997 through July 31, 1998."

The motion passed unanimously.

- H117 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to complete and execute a contractual agreement between Texas Tech University Health Sciences Center and Swank Motion Pictures, Inc. to distribute and sell Texas Tech

University Health Sciences Center's continuing medical education programs to hospitals for the period September 1, 1997 through August 31, 2000."

The motion passed unanimously.

- H118 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to finalize negotiations and sign the amendment to the Master Coordinating Agreement between Texas Tech University Health Sciences Center and University Medical Center, an Executive Summary of which is attached hereto as Attachment No. H5."

The motion passed unanimously.

- H119 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to approve the renewal agreement with Midland County Hospital District, an Executive Summary of which is attached hereto as Attachment No. H6, to provide funding for resident services and faculty support from October 1, 1997 through September 30, 1998."

The motion passed unanimously.

- H120 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to approve the agreement with the Correctional Managed Health Care Advisory Committee, an Executive Summary of which is attached hereto as Attachment No. H7, for the period September 1, 1997 to August 31, 1999 and all related subcontracts for medical and mental health care to prison, jail, and hospital inmates."

The motion passed unanimously.

- H121 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to approve the agreement with R.E. Thomason General Hospital, an Executive Summary of which is attached hereto as Attachment No. H8, to provide medical and administrative services from July 1, 1997 through June 30, 1998."

The motion passed unanimously.

- H122 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to approve the agreement with R.E. Thomason General Hospital, an Executive Summary of which is attached hereto as Attachment No. H9, for pathology services from July 1, 1997 through June 30, 1998."

The motion passed unanimously.

- H123 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to approve the renewal agreement with the Texas Youth Commission, an Executive Summary of which is attached hereto as Attachment No. H10, from September 1, 1997 through August 31, 1999 and all related subcontracts for providing medical care to TYC clients."

The motion passed unanimously.

- H124 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to approve the agreement with Life Management Center, an Executive Summary of which is attached hereto as Attachment No. H11, to provide professional staff for the El Paso Psychiatric Center for fiscal year 1998."

The motion passed unanimously.

- H125 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents authorizes the President of Texas Tech University Health Sciences Center to pursue opportunities to provide laboratory services to external entities in the Lubbock area."

The motion passed unanimously.

- H126 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University approves the revisions to the Faculty Grievance Policy for the School of Medicine attached hereto as Attachment No. H12."

The motion passed unanimously.

- H127 Upon recommendation of the Academic, Clinical and Student Affairs Committee, Regent Noe moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University ratifies the following leaves of absence:

Faculty development leave for Rockefeller S. L. Young, Ph.D., Professor in the Department of Ophthalmology and Visual Sciences, for the period September 1, 1997 to February 28, 1998. The purpose this leave is to research a new method for rapidly assessing the visual acuity in human subjects at the Department of Ophthalmology, University of Texas Southwestern Medical School in Dallas.

Faculty development leave for Frank J. Denaro, Ph.D., Assistant Professor in the Department of Neuropsychiatry and Behavioral Sciences, Division of Neurology, for the period September 1, 1997 to March 1, 1998. Dr. Denaro's leave will take place at the Institute of Human Virology, University of Maryland in Baltimore, where he will work and analyze the neuropathology which is found in the SIV and HU-SCID mouse model of HIV/CNS infection.

Faculty development leave for Sandra Sabatini, M.D., Ph.D., Professor in the Department of Physiology, for the period October 1, 1997 through September 30, 1998. Dr. Sabatini will be working with the United States Department of Health and Human Services, Office on Women's Health in Washington, D.C.

"RESOLVED, that the Board of Regents of Texas Tech University ratifies the following administrative actions:

Commissioning as peace officers the following persons, effective the date indicated, in accordance with Chapter 80, Acts of the 60th Legislature, Regular Session, 1967, as amended by Chapter 246, Acts of the 62nd Legislature, Regular Session, 1971: James H. Minton, effective April 3, 1997; Chad Jason Demaray, Timothy Lee Jarratt, Christopher David McCall, effective May 7, 1997; and Gerardo Arranaga, effective July 1, 1997."

- M132/H128 Regent Noe brought to the attention of the Board the information items that had been reviewed by the committee and asked for questions relating to such items. There were none. The information items relating to the Academic, Clinical and Student Affairs Committee are included as Attachment M2/H2.
- M133/H129 Chairman Whitacre called on Regent White, Chair, to give the report of the Finance and Administration Committee.

TTU Action Items

- M134 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University approves the FY 1998 Operating Budget for Texas Tech University, attached hereto as Attachment No. M1, and that the Board of Regents of Texas Tech University appropriates the fund balances of income generating accounts for specific activity usually supported by the accounts unless otherwise appropriated by the Board of Regents.

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the President in consultation with the Office of the Chancellor to approve the appropriate adjustments to close the University's accounting records for FY 1997 and to open the University's accounting records for FY 1998.

"RESOLVED, that the Board of Regents of Texas Tech University, in accordance with the Appropriations Bill, Article IX, Rider 35, authorizes the Chairman of the Board to cause the Chancellor to prepare the necessary justification for a request to exceed the FTE limitation established in the Appropriations Bill and authorizes the Chairman of the Board to submit the justification so prepared to the Governor and Legislative Budget Board."

"RESOLVED, that the Board of Regents of Texas Tech University, in accordance with the Appropriations Bill, Article IX, Rider 35, authorizes the Chairman of the Board to cause the Chancellor to prepare the necessary justification for a request to exceed the FTE limitation established in the Appropriations Bill and authorizes the Chairman of the Board to submit the justification so prepared to the Governor and Legislative Budget Board."

The motion passed unanimously.

- M135 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that, subject to compliance with applicable state law and in particular Section 55.16(d) Texas Education Code, the Board of Regents of Texas Tech University establishes the tuition for resident law students at \$155 per SCH and the tuition for nonresident law students at \$323 per SCH beginning with the Spring semester, 1998."

The motion passed unanimously.

- M136 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University amends BOR Item M18; November 8, 1996, to establish a quasi-endowment in the sum of at least \$1,617,500 to be made available for matching funds from the Proctor Estate and to be used for scholarships for undergraduate students at Texas Tech University, and to establish a quasi-endowment in the sum of at least \$2,875,000 to be made available for matching funds from the Proctor Estate and to be used for fellowships for graduate students at Texas Tech University.

"RESOLVED, that the Board of Regents of Texas Tech University approves any additions to the above-established quasi-endowments which shall come from (i) the designation of the \$550,000 previously donated for scholarship support, and (ii) the donation of additional funds to be matched with the remaining \$957,500 from the Proctor Estate."

The motion passed unanimously.

M137

Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University approves the use of \$10,000,000 as interim financing for the United Spirit Arena Project.

"RESOLVED, that Texas Tech University expects to pay expenditures in connection with the design, planning, acquisition and construction of the United Spirit Arena project prior to the issuance of obligations to completely finance the project;

"RESOLVED, that Texas Tech University finds, considers, and declares that the reimbursement of Texas Tech University for payments of such expenditures for the United Spirit Arena will be appropriate and consistent with the lawful objectives of Texas Tech University and, as such, chooses to declare its intention, in accordance with the provisions of Section 1.150-2 of the Treasury Regulations, to reimburse itself for such payments at such time as it issues obligations to finance the Project;

"RESOLVED, that:

Section 1. Texas Tech University reasonably expects to incur debt, as one or more series of obligations for the purpose of paying the costs of the United Spirit Arena Project.

Section 2. All costs to be reimbursed pursuant hereto will be capital expenditures. No tax-exempt obligations will be issued by the Issuer in furtherance of this Statement after a date which is later than 18 months after the later of (i) the date of expenditures are paid or (ii) the date on which the property, with respect to which such expenditures were made, is placed in service.

Section 3. *The foregoing notwithstanding, no tax-exempt obligation will be issued pursuant to this Statement more than three years after the date any expenditure which is to be reimbursed is paid."*

The motion passed unanimously.

- M138 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University approves the Investment Policy Statement for the Student-Managed Investment Fund (SMIF) as attached hereto as Attachment No. M2."

The motion passed unanimously.

- M139 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that the (1) equipment, (2) supplies, (3) log files, cards, and information, (4) manuals, books, catalogs, and maps, (5) microfiche cartridges, and (6) office furniture donated by A A Production of Lubbock, Texas, to Texas Tech University for the College of Engineering be accepted by the Texas Tech University Board of Regents."

The motion passed unanimously.

- M140 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University approves the budget adjustments attached hereto as Attachment No. M3."

The motion passed unanimously.

- M141 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University ratifies the budget and salary adjustments attached hereto as Attachment No. M4."

The motion passed unanimously.

- M142 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that in accordance with V.T.C.A. Government Code, Sec. 2103.061, the Board of Regents of Texas Tech University ratifies the administrative actions relating to Finance as follows:

- (1) *authorize the Chancellor to designate officers and employees of the University to approve all travel of employees of Texas Tech University, except to countries outside the United States other than United States possessions, Canada and Mexico, provided that such travel contributes to the mission of the University and is in accordance with current travel regulations and who may further delegate their authority, effective September 1, 1997 through August 31, 1998.*
- (2) *authorize the Chancellor to designate officers and employees of the University to approve official travel reimbursement from State appropriations and all other funds for officers and employees of Texas Tech University provided that the purpose of the travel and the reimbursement for such are in accordance with State travel regulations, other statutory requirements, or other action promulgated by this Board, effective September 1, 1997, and to continue until such time as they are separated from the University or assigned other responsibilities.*
- (3) *authorize the Chancellor to designate officers and employees of the University to approve and pay all accounts covering expenditures for State-appropriated funds and all other University-controlled funds, effective September 1, 1997 and to continue until such time as they are separated from the University or assigned other responsibilities.*
- (4) *sign checks drawn on the Revolving Fund and all other checking accounts of the University in any depository bank, except the University's Cashier's Account in the American State Bank, Lubbock, Texas, effective September 1, 1997, and to continue until such time as they are separated from the University or assigned other responsibilities, and further provided that any mechanically signed check of \$10,000 or more shall be reviewed and manually signed by one of the employees listed who may sign:*

*John T. Montford, Chancellor
James L. Crowson, Deputy Chancellor
John Opperman, Vice Chancellor for Administration and
Finance
Donald R. Haragan, President
Jim Brunjes, Vice President for Fiscal Affairs
Steve R. Pruitt, Associate Vice President for Business Affairs and
Comptroller
Gloria J. Hale, Assistant Vice President for Human
Resources
Charlie L. Stallings, Assistant Comptroller
Carole Wardroup, Director of Accounting Services
Ted W. Johnston, Manager of Grants and Contracts
Accounting
Deana Miller, Manager of Accounting Business Services
Dee Hollis, Manager of Accounting Services*

- (5) *sign and/or countersign cashier's checks drawn on the University's Cashier's Account in the American State Bank, Lubbock, Texas, effective September 1, 1997 and to continue until such time as they are separated from the University or assigned other responsibilities, and further provided that any mechanically signed check of \$10,000.00 or more shall be reviewed and manually signed by one of the employees listed who may sign or countersign:*

Employees who may sign or countersign:

*John T. Montford, Chancellor
James L. Crowson, Deputy Chancellor
John Opperman, Vice Chancellor for Administration and Finance
Donald R. Haragan, President
Jim Brunjes, Vice President for Fiscal Affairs
Steve R. Pruitt, Associate Vice President for Business Affairs and
Comptroller
Gloria J. Hale, Assistant Vice President for Human Resources
Charlie L. Stallings, Assistant Comptroller
Carole Wardroup, Director of Accounting Services
Ted W. Johnston, Manager of Grants and Contracts Accounting
Deana Miller, Manager of Accounting Business Services
Dee Hollis, Manager of Accounting Services*

Employees who may countersign only:

*James E. Meiers, University Bursar
Robert Fisher, Assistant Bursar*

- (6) *authorize transfer by wire or other means, of funds between Texas Tech University depositories, effective September 1, 1997, and to continue until such time as they are separated from the University or assigned other responsibilities:*

Employees who may authorize or counter-authorize:

*John T. Montford, Chancellor
James L. Crowson, Deputy Chancellor
John Opperman, Vice Chancellor for Administration and Finance
Donald R. Haragan, President
Jim Brunjes, Vice President for Fiscal Affairs
Steve R. Pruitt, Associate Vice President for Business Affairs and
Comptroller
Charlie L. Stallings, Assistant Comptroller
Carole Wardroup, Director of Accounting Services
Edmund W. McGee, Assistant Vice Chancellor for Investments
Winnie Long, Manager of Cash Management*

- (7) to authorize and approve the sale, purchase and transfer of stocks, bonds, and other securities which are owned or controlled by Texas Tech University provided such action is approved by any two of the individuals listed below, effective September 1, 1997, and to continue until such time as they are separated from the University or assigned other duties or responsibilities:

John T. Montford, Chancellor
James L. Crowson, Deputy Chancellor
John Opperman, Vice Chancellor for Administration and Finance
Donald R. Haragan, President
Jim Brunjes, Vice President for Fiscal Affairs
Steve R. Pruitt, Associate Vice President for Business Affairs and
Comptroller
Charlie L. Stallings, Assistant Comptroller
Edmund W. McGee, Assistant Vice Chancellor for Investments

However, for all instruments contributed to the University one of the two required signatures must be from one of the following:

William G. Wehner, Vice Chancellor for Institutional
Advancement
Greg Teeter, Legal Counsel for Institutional Advancement."

The motion passed unanimously.

TTUHSC Action Items

H130

Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University approves the FY 1998 Operating Budget for Texas Tech University Health Sciences Center attached hereto as Attachment No. H13, and that the Board of Regents appropriate the fund balances of income generating accounts for specific activity usually supported by the accounts unless otherwise appropriated by the Board of Regents.

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the President in consultation with the Office of the Chancellor to approve the appropriate adjustments to close the Health Sciences Center's accounting records for FY 1997 and to open the Health Sciences Center's accounting records for FY 1998.

"RESOLVED, that the Board of Regents of Texas Tech University, in accordance with the Appropriations Bill, Article IX, Rider 35, authorizes the Chairman of the Board to cause the Chancellor to prepare the necessary justification for a request to exceed the FTE limitation established in the Appropriations Bill and authorizes the Chairman of the Board to submit the justification so prepared to the Governor and Legislative Budget Board."

The motion passed unanimously.

- H131 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to approve the agreement with Carter Vending Company, an Executive Summary of which is attached hereto as Attachment No. H14, for candy, snacks and pastries vending services from September 1, 1997 through August 31, 2000."

The motion passed unanimously.

- H132 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to approve the agreement with Magnolia Coca-Cola Bottling Company, an Executive Summary of which is attached hereto as Attachment No. H15, for soft drink vending services from September 1, 1997 through August 31, 2000."

The motion passed unanimously.

- H133 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to approve the agreement with Southwest Coca-Cola Bottling Company, an Executive Summary of which is attached hereto as Attachment No. H16, for soft drinks, candy, chips and pastries vending services from September 1, 1997 through August 31, 2000."

The motion passed unanimously.

- H134 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that the HDI 3000 Ultrasound System donated by Children's Health Foundation of Amarillo, Texas, to Texas Tech University Health Sciences Center be accepted by the Texas Tech University Board of Regents."

The motion passed unanimously.

- H135 Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that the Board of Regents ratifies the salary adjustment attached hereto as Attachment No. H17."

The motion passed unanimously.

H136

Upon recommendation of the Finance and Administration Committee, Regent White moved approval of the following resolution:

"RESOLVED, that in accordance with V.T.C.A. Government Code, Sec. 2103.061, the Board of Regents of Texas Tech University ratifies the administrative actions relating to Finance as follows:

- (1) To authorize the Chancellor to designate officers and employees of the Health Sciences Center to approve all travel of employees of Texas Tech University Health Sciences Center, except to countries outside the United States other than United States' possessions, Canada and Mexico, provided that such travel contributes to the mission of the Health Sciences Center and is in accordance with current travel regulations and who may further delegate their authority, effective September 1, 1997, through August 31, 1998.*
- (2) To authorize the Chancellor to designate officers and employees of the Health Sciences Center to approve official travel reimbursement from State appropriations and all other funds for officers and employees of Texas Tech University Health Sciences Center provided that the purpose of the travel and the reimbursement for such are in accordance with State travel regulations, other statutory requirements, or other action promulgated by this Board, effective September 1, 1997, and to continue until such time as they are separated from the Health Sciences Center or assigned other responsibilities.*
- (3) To authorize the Chancellor to designate officers and employees of the Health Sciences Center to approve and pay all accounts covering expenditures for State-appropriated funds and all other Health Sciences Center-controlled funds, effective September 1, 1997, and to continue until such time as they are separated from the Health Sciences Center or assigned other responsibilities.*
- (4) To sign checks drawn on the Revolving Fund and all other checking accounts of the Health Sciences Center in any depository bank, except the Health Sciences Center's Cashier's Account in the American State Bank, Lubbock, Texas, effective September 1, 1997, and to continue until such time as they are separated from the Health Sciences Center or assigned other responsibilities, and further provided that any mechanically signed check of \$10,000 or more shall be reviewed and manually signed by one of the employees listed who may sign:*

*John T. Montford, Chancellor
James L. Crowson, Deputy Chancellor
John Opperman, Vice Chancellor for Administration and Finance*

David R. Smith, M.D., President
Elmo M. Cavin, Vice President for Fiscal Affairs
Michael Crowder, Associate Vice President for Business Affairs
Douglas Moore, Director of Accounting Services
JoAnna Marshall, Assistant Director of Accounting Services
Lisa Cook, Accounting Group Supervisor
Tami James, Accounting Group Supervisor
Jim Brunjes, Vice President for Fiscal Affairs, TTU
Steve R. Pruitt, Associate Vice President for Business Affairs and
Comptroller, TTU
Gloria J. Hale, Assistant Vice President for Human Resources,
TTU
Carole Wardroup, Director of Accounting Services, TTU
Marilyn P. Bell, Manager of Payroll, TTU
Deana Miller, Manager of Accounting Business Services, TTU

- (5) *To sign checks drawn on the Health Sciences Center's Cashier's Account in the American State Bank, Lubbock, Texas, effective September 1, 1997, and to continue until such time as they are separated from the Health Sciences Center or assigned other responsibilities, and further provided that any mechanically signed check of \$10,000 or more shall be reviewed and manually signed by one of the employees listed who may sign or countersign:*

John T. Montford, Chancellor
James L. Crowson, Deputy Chancellor
John Opperman, Vice Chancellor for Administration and Finance
David R. Smith, M.D., President
Elmo M. Cavin, Vice President for Fiscal Affairs
Michael Crowder, Associate Vice President for Business Affairs
Douglas Moore, Director of Accounting Services
JoAnna Marshall, Assistant Director of Accounting Services
Lisa Cook, Accounting Group Supervisor
Tami James, Accounting Group Supervisor

- (6) *To authorize transfers, by wire or other means, of funds between Texas Tech University Health Sciences Center depositories, effective September 1, 1997, and to continue until such time as they are separated from the Health Sciences Center or assigned other responsibilities:*

Employees who may authorize or counter-authorize:

John T. Montford, Chancellor
James L. Crowson, Deputy Chancellor
John Opperman, Vice Chancellor for Administration and Finance
David R. Smith, M.D., President
Elmo Cavin, Vice President for Fiscal Affairs
Michael Crowder, Associate Vice President for Business Affairs
Douglas Moore, Director of Accounting Services
Jim Brunjes, Vice President for Fiscal Affairs, TTU

*Steve R. Pruitt, Associate Vice President for Business Affairs and
Comptroller, TTU*
Charlie L. Stallings, Assistant Comptroller, TTU
Carole Wardroup, Director of Accounting Services, TTU
*Edmund W. McGee, Assistant Vice Chancellor for Investments,
TTU*
Winnie Long, Manager of Cash Management, TTU

- (7) *To authorize and approve the sale, purchase and transfer of
stocks, bonds, and other securities which are owned or
controlled by the Health Sciences Center provided such action is
approved by any two of the individuals listed below, effective
September 1, 1997, and to continue until such time as they are
separated from the Health Sciences Center or assigned other
duties or responsibilities:*

John T. Montford, Chancellor
James L. Crowson, Deputy Chancellor
John Opperman, Vice Chancellor for Administration and Finance
David R. Smith, M.D., President
Elmo M. Cavin, Vice President for Fiscal Affairs
Michael Crowder, Associate Vice President for Business Affairs
Douglas Moore, Director of Accounting Services
*Edmund W. McGee, Assistant Vice Chancellor for Investments,
TTU*

*However, for all instruments contributed to the Health Sciences
Center one of the two required signatures must be from one of
the following:*

*William G. Wehner, Vice Chancellor for Institutional
Advancement, TTU*
Greg Teeter, Legal Counsel for Institutional Advancement, TTU."

The motion passed unanimously.

- M143/H137 Regent White brought to the attention of the Board the information items that had been reviewed by the committee and asked for questions relating to such items. There were none. The information items relating to the Finance and Administration Committee are included as Attachment M3/H3.
- M144/H138 Chairman Whitacre called on Regent Sowell, Chair, to give the report of the Facilities Committee.

TTU Action Items

- M145 Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to approve and to submit the Facilities Construction and Deferred Maintenance Master Plan (also known as the Five-Year Campus Master Plan Update) to the Texas Higher Education Coordinating Board as the approved Master Plan for Texas Tech University."

The motion passed unanimously.

M146

Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to proceed with the project; to establish a project budget; to approve the schematic design; to authorize preparation of documents for submittal to the Texas Higher Education Coordinating Board for review and approval; and upon approval, to proceed with contract documents, with the receipt of bids, and with the awarding of a construction contract for the construction of the English/Philosophy/Education complex."

"RESOLVED, that the project budget for the English/Philosophy/Education complex is established at \$42,000,000."

"RESOLVED, that Texas Tech University expects to pay expenditures in connection with the design, planning, acquisition and construction of the English/Philosophy/Education complex prior to the issuance of obligations to finance the project."

"RESOLVED, that Texas Tech University finds, considers, and declares that the reimbursement of Texas Tech University for the payments of such expenditures will be appropriate and consistent with the lawful objectives of Texas Tech University and, as such, chooses to declare its intention, in accordance with the provisions of Section 1.150-2 of the Treasury Regulations, to reimburse itself for such payments at such time as it issues obligations to finance the English/Philosophy/Education complex."

"RESOLVED, by the Board of Regents of Texas Tech University that:

Section 1. Texas Tech University reasonably expects to incur debt, as one or more series of obligations, with an aggregate maximum principal amount equal to \$42,000,000 for the purpose of paying the costs of the construction of the English/Philosophy/Education Complex."

Section 2. All costs to be reimbursed pursuant hereto will be capital expenditures. No tax-exempt obligations will be issued by the Issuer in furtherance of this Statement after a date which is later than 18 months after the later of (1) the date of expenditures

are paid or (2) the date on which the property, with respect to which such expenditures were made, is placed in service.

Section 3. The foregoing notwithstanding, no tax-exempt obligation will be issued pursuant to this Statement more than three years after the date any expenditure which is to be reimbursed is paid."

The motion passed unanimously.

M147

Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to proceed with the project, to establish a project budget, to authorize preparation of documents for submittal to the Texas Higher Education Coordinating Board for review and approval, and upon approval, to award a construction contract for the construction of a Commuter Parking Structure.

"RESOLVED, that the project budget for the construction of a Commuter Parking Structure is established at \$4,200,000.

"RESOLVED, that Texas Tech University expects to pay expenditures in connection with the design, planning, acquisition and construction of the Commuter Parking Structure prior to the issuance of obligations to finance the project.

"RESOLVED, that Texas Tech University finds, considers, and declares that the reimbursement of Texas Tech University for the payments of such expenditures will be appropriate and consistent with the lawful objectives of Texas Tech University and, as such, chooses to declare its intention, in accordance with the provisions of Section 1.150-2 of the Treasury Regulations, to reimburse itself for such payments at such time as it issues obligations to finance the Commuter Parking Structure.

"RESOLVED, by the Board of Regents of Texas Tech University that:

Section 1. Texas Tech University reasonably expects to incur debt, as one or more series of obligations, with an aggregate maximum principal amount equal to \$4,200,000 for the purpose of paying the costs of the construction of the Commuter Parking Structure.

Section 2. All costs to be reimbursed pursuant hereto will be capital expenditures. No tax-exempt obligations will be issued by the Issuer in furtherance of this Statement after a date which is later than 18 months after the later of (1) the date of expenditures are paid or (2) the date on which the property, with respect to which such expenditures were made, is placed in service...

Section 3. *The foregoing notwithstanding, no tax-exempt obligation will be issued pursuant to this Statement more than three years after the date any expenditure which is to be reimbursed is paid."*

The motion passed unanimously.

- M148 Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University approves the schematic design and authorizes the Office of the Chancellor to execute a ground lease and a construction and operating agreement between the University and the Texas Tech Ex-Students Association for the Ex-Students Association's Raider Alley Pavilion located on the University Campus."

The motion passed unanimously.

- M149 Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to proceed with the project, to establish a project budget, to proceed with contract documents and the receipt of bids, and to award a construction contract for the Abatement and Demolition of the University Police Building."

"RESOLVED, that the project budget for the Abatement and Demolition of the University Police Building is established at \$225,000."

The motion passed unanimously.

- M150 Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to approve the increase in the budget of a previously Board approved project; to proceed with documents for submittal to the Texas Higher Education Coordinating Board for review and approval, and to award a construction contract for the renovation of the Naval Reserve Center Buildings."

"RESOLVED, that the project budget for the renovation of the Naval Reserve Center Buildings is established at \$3,225,000."

The motion passed unanimously.

M151 The Facilities Committee heard a report from Ms. Debbie Montford, chair of the Campus Care Givers (formerly the Campus Beautification Committee), and Doug Mann of HOK Architects concerning the status of the planning of the integration of landscape features and irrigation systems into the emerging Campus Master Plan. The Campus Master Plan is scheduled for consideration by the Texas Tech Board of Regents at the Fall meeting. Regent Sowell reported that the Facilities Committee offered a vote of confidence to the work of the Campus Care Givers.

M152 Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech authorizes the Office of the Chancellor to select an architect for the project, to establish a planning budget, and to develop a schematic design for the creation of a University Conferences Bonfire Circle at Urbanovsky Park."

"RESOLVED, that the project budget for the creation of a University Conferences Bonfire Circle at Urbanovsky Park is established at \$275,000."

The motion passed unanimously.

M153 Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolutions:

"RESOLVED, that the Board of Regents authorizes the Office of the Chancellor to select an architect for the project, to establish a planning budget, and to develop a schematic design for the new Basic Sciences' Research Laboratory Facility."

"RESOLVED, that the planning budget to develop a schematic design for the new Basic Sciences' Research Laboratory Facility is established at \$250,000."

The motion passed unanimously.

TTUHSC Action Items

H139 Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to approve and to submit the Facilities Construction and Deferred Maintenance Master Plan (also known as the Five-Year Campus Master Plan Update) to the Texas Higher Education Coordinating Board as the approved Master Plan for Texas Tech University Health Sciences Center."

The motion passed unanimously.

H140 Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to select an architect for the project, to establish a planning budget, and to develop a schematic design for the new Primary Care Clinic.

"RESOLVED, that the project planning budget for the new Primary Care Clinic is established at \$ 160,000."

The motion passed unanimously.

H141 Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to proceed with the project, to establish a project budget, to approve the schematic design, to proceed with contract documents and the receipt of bids, and to award a construction contract for the construction of the Cardiovascular Center at Memorial Hospital, in Midland, Texas.

"RESOLVED, that the project budget for the construction of the Cardiovascular Center at Memorial Hospital in Midland, Texas, is established at \$2,500,000.

"RESOLVED, that Texas Tech University expects to pay expenditures in connection with the design, planning, acquisition and construction of Cardiovascular Center at Memorial Hospital in Midland, Texas, prior to the issuance of obligations to finance the project.

"RESOLVED, that Texas Tech University finds, considers, and declares that the reimbursement of Texas Tech University for the payments of such expenditures will be appropriate and consistent with the lawful objectives of Texas Tech University and, as such, chooses to declare its intention, in accordance with the provisions of Section 1.150-2 of the Treasury Regulations, to reimburse itself for such payments at such time as it issues obligations to finance the Library renovation project;

"RESOLVED, by the Board of Regents of Texas Tech University that:

Section 1. Texas Tech University reasonably expects to incur debt, as one or more series of obligations, with an aggregate maximum principal amount equal to \$2,500,000 for the purpose of paying the costs of the Cardiovascular Center at Memorial Hospital in Midland, Texas.

Section 2. All costs to be reimbursed pursuant hereto will be capital expenditures. No tax-exempt obligations will be issued by the Issuer in furtherance of this Statement after a date which is

later than 18 months after the later of (1) the date of expenditures are paid or (2) the date on which the property, with respect to which such expenditures were made, is placed in service.

Section 3. The foregoing notwithstanding, no tax-exempt obligation will be issued pursuant to this Statement more than three years after the date any expenditure which is to be reimbursed is paid."

The motion passed unanimously.

H142

Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to select an architect for the project, to establish a planning budget, to develop a schematic design for a facility to house the proposed educational Physician Assistant Program, to negotiate the possible location of that facility on the grounds of Midland College, and to negotiate and execute an agreement for temporary lease space until construction is complete.

"RESOLVED, that the project planning budget to negotiate the possible location of the facility for the Physician Assistant Program on the grounds of Midland College, and to negotiate a temporary lease space until construction is complete is established at \$ 45,000.00."

The motion passed unanimously.

H143

Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University authorizes the Office of the Chancellor to select an architect for the project, to establish a planning budget, and to develop schematic designs for the new TTUHSC Academic Building, Renovation of the Existing Clinic Building, and for the finish-out of the School of Pharmacy at Amarillo.

"RESOLVED, that the project budget for the new TTUHSC Academic Building, Renovation of the Existing Clinic Building, and for the finish-out of the School of Pharmacy at Amarillo shall not exceed \$30,000,000.

"RESOLVED, that the project planning budget for the new TTUHSC Academic Building, Renovation of the Existing Clinic Building, and for the finish-out of the School of Pharmacy at Amarillo is established at \$250,000.

"RESOLVED, that Texas Tech University expects to pay expenditures in connection with the design, planning, acquisition and construction of the project for the new TTUHSC Academic Building, Renovation of the

Existing Clinic Building, and for the finish-out of the School of Pharmacy at Amarillo prior to the issuance of obligations to finance the project.

"RESOLVED, that Texas Tech University finds, considers, and declares that the reimbursement of Texas Tech University for the payments of such expenditures will be appropriate and consistent with the lawful objectives of Texas Tech University and, as such, chooses to declare its intention, in accordance with the provisions of Section 1.150-2 of the Treasury Regulations, to reimburse itself for such payments at such time as it issues obligations to finance the Project.

"RESOLVED, by the Board of Regents of Texas Tech University that:

Section 1. Texas Tech University reasonably expects to incur debt, as one or more series of obligations, with an aggregate maximum principal amount equal to \$22,000,000 for the purpose of paying the costs of the new TTUHSC Academic Building, Renovation of the Existing Clinic Building, and for the finish-out of the School of Pharmacy at Amarillo.

Section 2. All costs to be reimbursed pursuant hereto will be capital expenditures. No tax-exempt obligations will be issued by the Issuer in furtherance of this Statement after a date which is later than 18 months after the later of (1) the date of expenditures are paid or (2) the date on which the property, with respect to which such expenditures were made, is placed in service.

Section 3. The foregoing notwithstanding, no tax-exempt obligation will be issued pursuant to this Statement more than three years after the date any expenditure which is to be reimbursed is paid."

The motion passed unanimously.

H144 Upon recommendation of the Facilities Committee, Regent Sowell moved approval of the following resolution:

"RESOLVED, that the Board of Regents of Texas Tech University approves the Amarillo Campus Master Plan in concept."

The motion passed unanimously.

M154/H145 Regent Sowell brought to the attention of the Board the information items that had been reviewed by the committee and asked for questions relating to such items. There were none. The items relating to the Facilities Committee are included as Attachment M4/H4.

CW48 At the conclusion of the consideration of standing committee reports, Chairman Whitacre called for presentation of the remaining agenda items.

CW49 Chairman Whitacre called on TTU President Donald Haragan who presented a report on the consideration of image enhancements.

CW50 Chairman Whitacre called on President Haragan to present a report on the status of consideration of college and school level reorganization at Texas Tech University.

CW51 Chairman Whitacre called on Regent Sowell for consideration of the report and actions on the recommendations of the *Ad Hoc* Committee on Admission Standards.

CW52 Regent Sowell, speaking from the Report of the Committee on Admission Standards, attached hereto Attachment No. CW5, reported for the *Ad Hoc* Committee, sometimes referred to as the Enrollment Management Committee. Discussion ensued. Regent Sowell moved approval of the following resolutions:

"RESOLVED, that the Board of Regents of Texas Tech University recommends that the Chancellor consider creating the position of Vice President for Enrollment Management and proceed with a realignment of the University's organizational structure accordingly.

"RESOLVED, that the Board of Regents of Texas Tech University recommends that the Chancellor consider developing and presenting to the Board at its next regular meeting a plan for the implementation of the remaining recommendations included in the report of the Ad Hoc Committee on Admission Standards."

Regent Nancy Jones seconded the motion, and the motion passed unanimously.

CW53 Chairman Whitacre called on Mrs. Debbie Montford to present the quarterly update on the progress of the Campus Care Givers, formerly known as the Campus Beautification Committee. Speaking from the materials attached hereto as Attachment No. CW6, Mrs. Montford presented the report.

CW54 Chairman Whitacre called on Vice Chancellor John Opperman to present information on the consideration of TTU/TTUHSC Employee/Dependent Scholarship Program attached hereto as Attachment No. CW7.

CW55 Chairman Whitacre asked whether any member of the Board wished to propose any motions as a result of discussion in Executive Session. There were none.

CW56 Chairman Whitacre asked for the Chancellor's Report. Speaking from the materials attached hereto as Attachment No. CW8, Chancellor Montford gave the Chancellor's Report.

CW57 The Board of Regents selected the next quarterly meeting dates of November 7, 1997, in Lubbock, and March 6, 1998, in El Paso.

CW56 Chairman Whitacre adjourned the meeting.

Attachments:

CW1	Department of Education Resolution; Item CW36
CW2	Amendments to the Master Resolution; Item CW39
CW3	Revisions to <i>Board of Regents' Policy 05.06</i> ; Item CW42
CW4	Guidelines for Periodic Evaluation of Tenured Faculty; Item CW44
CW5	Report of the Committee on Admission Standards; Item CW52
CW6	Campus Care Givers Report; Item CW53
CW7	TTU/TTUHSC Employee/Dependent Scholarship Program; Item CW54
CW8	Chancellor's Report; Item CW56
M1	FY 1998 Operating Budget for Texas Tech University; Item M134
M2	Investment Policy Statement for the Student-Managed Investment Fund; Item M138
M3	Texas Tech University Budget Adjustments; Item M140
M4	Texas Tech University Budget Ratifications; Item M141
H1	Executive Summary of Proposed Agreement for Adult and Child Outpatient and Inpatient Psychiatric Services; Item H113
H2	Executive Summary of Proposed Renewal Agreement for Funding of the Department of Family Medicine; Item H114
H3	Executive Summary of Proposed Renewal Agreement for Funding of Resident and Faculty Support; Item H115
H4	Executive Summary of Proposed Agreement for Pediatric Surgery Services; Item H116
H5	Executive Summary of Proposed Master Coordinating Agreement; Item H118
H6	Executive Summary of Proposed Renewal Agreement for Resident and Faculty Support; Item H119
H7	Executive Summary of Proposed Renewal Agreement for Medical and Mental Health Care to Prison, Jail, and Hospital Inmates; Item H120
H8	Executive Summary of Proposed Renewal Agreement for Medical and Administrative Services; Item H121
H9	Executive Summary Proposed Agreement for Pathology Services ; Item H122
H10	Executive Summary Proposed Renewal Agreement for Medical Care to Clients of Texas Youth Commission; Item H123
H11	Executive Summary of Proposed Agreement to Provide Professional Staff for the El Paso Psychiatric Center; Item H124
H12	Faculty Grievance Policy for the School of Medicine; Item H126
H13	FY 1998 Operating Budget for Texas Tech University Health Sciences Center; Item H130
H14	Executive Summary of Proposed Agreement for Vending Services; Item H131
H15	Executive Summary of Proposed Agreement for Vending Services; Item H132
H16	Executive Summary of Proposed Agreement for Vending Services; Item H133
H17	Texas Tech University Health Sciences Center Salary Adjustment; Item H135
M1/H1	Introductions; Item M123/H102
M2/H2	Academic, Clinical and Student Affairs Committee Information Items; Item M132/H128
M3/H3	Finance and Administration Committee Information Items; Item M143/H137
M4/H4	Facilities Committee Information Items; Item M154/H145

I, James L. Crowson, the duly appointed and qualified Assistant Secretary of the Board of Regents, hereby certify that the above and foregoing is a true and correct copy of the Minutes of Texas Tech University and Texas Tech University Health Sciences Center Board of Regents meeting on August 22, 1997.

~~James L. Crowson~~
Assistant Secretary

SEAL

Attachment

RESOLUTION

WHEREAS, certain real property owned by the United States of America, located in the County of Lubbock, State of Texas, has been declared surplus to the needs of the Federal government and is subject to assignment for disposal for educational purposes by the Secretary of Education, under the provisions of Section 203(k) (1) (a) of the Federal Property and Administrative Services Act of 1949 (63 Stat. 377), as amended, and rules and regulations promulgated pursuant thereto, more particularly described as follows:

Approximately 11.36 acres at Reese Air Force Base in Lubbock, Texas. This will include buildings 551, 552, 553, 555, and 560. The total area will include the grounds, parking lots and a fenced yard area.

WHEREAS, Texas Tech University needs and can utilize said property for educational purposes in accordance with the requirement of said Act and the rules and regulations promulgated thereunder of which this Board is fully informed, including commitments regarding use and time within which such use shall commence.

NOW, THEREFORE, BE IT RESOLVED, that Texas Tech University shall make application to the Secretary of Education for, and secure the transfer to it of, the above-mentioned property for said use upon and subject to such exceptions, reservations, terms, covenants, agreements, conditions and restrictions as the Secretary of Education, or his authorized representative may require in connection with the disposal of said property under said Act and rules and regulations issued thereto; and

BE IT FURTHER RESOLVED, that Texas Tech University has legal authority and is willing and is in a position financially and otherwise to assume immediate care and maintenance of the property, and John T. Montford, Chancellor, is hereby authorized, for and on behalf of Texas Tech University to do and perform any and all acts and things which may be necessary to carry out the foregoing resolution including the preparing, making and filing of plans, applications, reports and other documents; the execution, acceptance, delivery and recordation of agreements, deeds and other instruments pertaining to the transfer of said property, and the payment of any and all sums necessary on account of the purchase price thereof including fees or costs incurred in connection with the transfer of said property for surveys, title searches, real estate appraisals, recordation of instruments or costs associated with escrow arrangements; together with any payments necessary by virtue of nonuse or deferral of use of the property. If the applicant is unable to place the property into use (or determines that a deferral of use should occur), IT IS UNDERSTOOD AND AGREED that Texas Tech University will pay to the United States Department of Education for each month of nonuse beginning twelve (12) months after the date of the deed, or thirty-six (36) months where construction or major renovation is contemplated, the sum of 1/360th of the then current fair market value of the property for each month of nonuse.

If submission of the Application For Public Benefit Allowance Acquisition Of Surplus Federal Real Property For Educational Purposes is approved, a copy of the application and standard deed conditions will be filed with the permanent minutes of the Board.

Board of Regents
Texas Tech University
Lubbock, Texas 79409

I hereby certify that I, _____, am the _____ and that the foregoing resolution is a true and correct copy of the resolution adopted by the vote of a majority of the members of said Board of Regents present at a meeting of said Board of the 22nd day of August, 1997, at which a quorum was present.

Signed: _____

**SECOND RESOLUTION AMENDING MASTER RESOLUTION
ESTABLISHING THE REVENUE FINANCING SYSTEM UNDER
THE AUTHORITY AND RESPONSIBILITY OF
THE BOARD OF REGENTS OF TEXAS TECH UNIVERSITY**

WHEREAS, the Board of Regents (the "Board") of Texas Tech University (the "University"), acting separately and independently for and on behalf of the University and separately and independently for and on behalf of the Texas Tech University Health Sciences Center (the "Health Sciences Center"), adopted the "Master Resolution Establishing the Revenue Financing System under the Authority and Responsibility of the Board of Regents of Texas Tech University" on the 21st day of October, 1993, and adopted a resolution amending such resolution on the 8th day of November, 1996, (together, the "Master Resolution"), to establish a new system-wide financing structure for revenue supported indebtedness of the University and the Health Sciences Center, and other participants that hereafter may be included within such structure, which would provide reduced costs and increased borrowing capacity to the University and the Health Sciences Center, additional security to the credit markets, and greater financial flexibility to the Board; and

WHEREAS, terms used herein and not otherwise defined have the meanings given in the Master Resolution and references to various Sections refer to Sections of the *Texas Education Code* (the "Code"); and

WHEREAS, pursuant to the Master Resolution, the Board has issued four series of its Revenue Financing System Bonds (the "Outstanding Parity Obligations"); and

WHEREAS, the Board reserved the right in the Master Resolution to issue bonds and notes on a parity with the Outstanding Parity Obligations; and

WHEREAS, the Master Resolution provides that it may be amended without the consent of the Holders to supplement the security for the Outstanding Parity Obligations; and

WHEREAS, the 75th Legislature of the State of Texas, Regular Session, passed Senate Bill 1907 ("S.B. 1907"), which amends the provisions of the *Code* concerning the financing of improvements for institutions of higher education, particularly Chapters 54 and 55 of the *Code*; and

WHEREAS, S.B. 1907 substantially changed the laws under which the Board issues its bonds and notes by combining the general use fees into tuition and granting to the Board the ability to expand the pledge given for the benefit of the Outstanding Parity Obligations; specifically, S.B. 1907 re-designated the "general use fee" authorized by Section 55.16 of the *Code* as "tuition" under a new Section 54.0513 and broadened the definition of revenue funds (under Section 55.01) which could be pledged to the payment of bonds and notes to include (i) every item of the Board's revenue included in the definition of Pledged Revenues, and (ii) other fees and charges authorized under Chapter 54 which had previously been restricted to certain uses other than the payment of debt service on the Board's obligations; and

WHEREAS, in addition, S.B. 1907 made a number of conforming amendments to the *Code*, including amending Section 55.16 to provide that the unlimited general use fee previously authorized by that Section is replaced with an ability of the Board to establish and collect at each institution that amount of all "necessary fees, tuition, rentals, rates, and other charges," i.e., Pledged Revenues, including tuition, "when and to the extent required by the resolution authorizing the issuance of the bonds in any amount required to provide revenue funds sufficient for the payment of the principal of and interest on the bonds, regardless of any other provision or limitation provided by" the provisions of *Code*; and

WHEREAS, S.B. 1907 also contains comprehensive provisions ensuring that its provisions will not in any manner impair the contractual rights of any party to a contract with the Board, including any Holders of the Board's Outstanding Parity Obligations; and

WHEREAS, the Board deems it necessary and desirable and beneficial to the owners of the Outstanding Parity Obligations, the University, the Health Sciences Center and the Board to amend the Master Resolution in a manner consistent with the changes made to the Code by S.B. 1907; and the Office of the Chancellor; the Board's Bond Counsel, McCall, Parkhurst & Horton L.L.P.; and the Board's Financial Advisor, First Southwest Company, have recommended the adoption of this resolution amending the Master Resolution to strengthen the credit of the Revenue Financing System by supplementing the security for the Outstanding Parity Obligations and to cure the inconsistencies between the Master Resolution and the Code, as amended; and

WHEREAS, most of the provisions of S.B. 1907 become effective on August 1, 1997, for the 1997-1998 academic year, thus making it necessary at this time to make the amendments contained in this resolution; and

WHEREAS, notwithstanding the amendments hereafter made and the intention of the Board to follow the desires of the State Legislature, as expressed in S.B. 1907, by establishing tuition at a level equal to not more than what would have been charged as the total of tuition and the general use fee, the Board acknowledges its obligation with respect to the Outstanding Parity Obligations to comply with the provisions of the Master Resolution prior to this amendment to the extent necessary to prevent a default in the Board's obligations under the Outstanding Parity Obligations.

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF REGENTS OF TEXAS TECH UNIVERSITY THAT:

Section 1. AMENDMENT OF MASTER RESOLUTION DEFINITIONS. Exhibit A of the Master Resolution is hereby amended in the following manner:

(a) The definitions of Pledged General Fee, Pledged General Tuition, Pledged Revenues, Pledged Tuition Fee, and Prior Encumbered Obligations are amended to read as follows:

"Pledged General Fee" means the gross collections of a student use fee to be fixed, charged, and collected pursuant to Section 55.16, *Texas Education Code* as it existed prior to the effective date of S.B. 1907, from the students (excepting, with respect to each series or issue of Parity Obligations issued prior to such date, any student in a category which, at the time of the adoption of the Supplement relating to such Parity Obligations, was exempt by law from paying fees) regularly enrolled at the institutions and branches thereof now or hereafter constituting a Participant of the Financing System, respectively, for the general use and availability of such institutions or branches thereof, respectively, in the manner and amounts, at the times, and to the extent provided in this Resolution, and including, subject to the provisions of the Prior Encumbered Obligations, the Prior Encumbered General Fee.

"Pledged General Tuition" means all of the aggregate amount of student tuition charges now or hereafter required or authorized by law to be imposed on students enrolled at each and every institution, branch, and school, now or hereafter constituting a Participant of the Financing System, but specifically excluding and excepting, with respect to each series or issue of Parity Obligations, any student in a category which, at the time

of the adoption of the Supplement relating to such Parity Obligations (1) was exempt by law from paying such tuition, (2) the amount of tuition scholarships provided for by law at the time of the adoption of each Supplement, and (3) the Prior Encumbered Tuition Fee; and it is provided by law and hereby represented and covenanted that the aggregate amount of student tuition charges which are now required or authorized by law to be imposed, and which are pledged to the payment of the Parity Obligations, shall never be reduced or abrogated while such obligations are outstanding; it being further covenanted that the aggregate amount of student tuition charges now required or authorized by law to be imposed on students enrolled at each and every institution, branch, and school operated by or under the jurisdiction of the Board are set forth in the *Texas Education Code*, as amended, to which reference is hereby made for all purposes.

"Pledged Revenues" means, subject to the provisions of the Prior Encumbered Obligations, the Revenue Funds, including all of the funds and balances now or hereafter lawfully available to the Board and derived from or attributable to any Participant of the Financing System which are lawfully available to the Board for payments on Parity Obligations; provided, however, that the following shall not be included in Pledged Revenues unless and to the extent set forth in a Supplement:

- (a) amounts received by TTU under Article 7, Section 17 of the Constitution of the State of Texas, including the income therefrom and any fund balances relating thereto;
- (b) amounts received on behalf of the Health Sciences Center under Article 7, Section 17 of the Constitution of the State of Texas, including the income therefrom and any fund balances relating thereto;
- (c) except to the extent so specifically appropriated, general revenue funds appropriated to the Board by the Legislature of the State of Texas; and
- (d) Practice Plan Funds of the Health Sciences Center, including the income therefrom and any fund balances relating thereto, to the extent said moneys are included in Pledged Practice Plan Funds.

"Pledged Tuition Fee" means, as authorized by Section 55.17, *Texas Education Code* as it existed prior to the effective date of S.B. 1907, the following specified amounts out of the tuition charges now or hereafter required or permitted by law to be imposed on each tuition paying student enrolled at each and every institution or branch thereof now or hereafter constituting a Participant, and including, subject to the provisions of the Prior Encumbered Obligations, the Prior Encumbered Tuition Fee, respectively:

\$5.00 from each enrolled student for each regular semester, and

\$2.50 from each enrolled student for each summer term of each summer session.

(b) Exhibit A of the Master Resolution is further amended by adding thereto the following definitions:

"Revenue Funds" means the "revenue funds" of the Board (as defined in Section 55.01 of the *Texas Education Code* to mean the revenues, incomes, receipts, rentals, rates, charges, fees, grants, and tuition levied or collected from any public or private source by an institution of higher education, including interest or other income from those funds) derived by the Board from the operations of each of the Participants, including specifically the Pledged General Tuition and, to the extent and subject to the provisions of this Resolution, the Pledged General Fee and the Pledged Tuition Fee. Revenue Funds does not include, with respect to each series or issue of Parity Obligations, any tuition, rentals, rates, fees, or other charges attributable to any student in a category which, at the time of the adoption of the Supplement relating to such Parity Obligations, is exempt by law from paying such tuition, rentals, rates, fees, or other charges.

"S.B. 1907" means Senate Bill 1907 passed by the State Legislature in the 75th Regular Legislative Session.

Section 2. AMENDMENT OF SECTION 3 OF MASTER RESOLUTION. Section 3 of the Master Resolution is hereby amended to read as follows:

"Section 3. RATE COVENANT: PLEDGED REVENUES.

"(a) Rate Covenant. In each Fiscal Year, the Board shall establish, charge, and use its reasonable efforts to collect at each Participant the Pledged Revenues which, if collected, would be sufficient to meet all financial obligations of the Board relating to the Financing System including all deposits or payments due on or with respect to Outstanding Parity Obligations for such Fiscal Year.

"(b) Pledged Revenues.

"(i) Pledged General Fee. Subject to the provisions of the resolutions authorizing Prior Encumbered Obligations and to the other provisions of this Resolution and any Supplement, the Board covenants and agrees at all times to fix, levy, charge, and collect at each Participant which has students the Pledged General Fee from each student enrolled at each Participant, respectively, at each regular fall and spring semester and at each term of each summer session, for the use and availability of such institution or branch thereof, respectively, in such amounts, without any limitation whatsoever, as will be at least sufficient at all times, together with other legally available funds, including other Pledged Revenues, to provide the money, to make or pay the principal of, interest on, and other payments or deposits with respect to the Parity Obligations Outstanding on August 1, 1997, when and as required. The Pledged General Fee shall be adjusted, if and when permitted or required by this Resolution or any Supplement, to provide Pledged Revenues sufficient to make when due all payments and deposits in connection with such Outstanding Parity Obligations. The Board may fix, levy, charge, and collect the Pledged General Fee in any manner it may determine within its discretion, and in different amounts from students enrolled in dif-

ferent Participants, respectively, and in addition it may totally suspend the collection of the Pledged General Fee from the students enrolled in any Participant, so long as total Pledged Revenues are sufficient, together with other legally available funds, to meet all financial obligations of the Board relating to the Financing System including all payments and deposits in connection with such Outstanding Parity Obligations. All changes in the Pledged General Fee shall be made by a resolution of the Board, but such procedure shall not constitute or be regarded as an amendment of this Resolution or any Supplement, but merely the carrying out of the provisions and requirements hereof. Notwithstanding the foregoing provisions, so long as there is no default or anticipated default in the payment of the Outstanding Parity Obligations referenced above, the Board does not intend to and will not assess and collect the Pledged General Fee.

"(ii) Pledged General Tuition and Other Pledged Revenues. Subject to the provisions of the resolutions authorizing Prior Encumbered Obligations and to the other provisions of this Resolution and any Supplement, the Board covenants and agrees at all times to fix, levy, charge, and collect at each Participant which has students the Pledged General Tuition and other Pledged Revenues from each student enrolled at each Participant, respectively, at each regular fall and spring semester and at each term of each summer session, for the use and availability of such institution or branch thereof, respectively, in such amounts, without any limitation whatsoever, as will be at least sufficient at all times, together with other legally available funds, including other Pledged Revenues, to provide the money to make or pay the principal of, interest on, and other payments or deposits with respect to the Parity Obligations then Outstanding when and as required. The Pledged General Tuition and the other rentals, rates, fees, and charges included in Pledged Revenues shall be adjusted, if and when permitted or required by this Resolution or any Supplement, to provide Pledged Revenues sufficient to make when due all payments and deposits in connection with the Parity Obligations then Outstanding. The Board may fix, levy, charge, and collect the Pledged Revenues in any manner it may determine within its discretion, and in different amounts from students enrolled in different Participants, respectively, and in addition it may totally suspend the collection of any item included in Pledged Revenues from the students enrolled in any Participant, so long as total Pledged Revenues are sufficient, together with other legally available funds, to meet all financial obligations of the Board relating to the Financing System including all payments and deposits in connection with the Parity Obligations then Outstanding. All changes in the Pledged General Tuition shall be made by a resolution of the Board, but such procedure shall not constitute or be regarded as an amendment of this Resolution or any Supplement, but merely the carrying out of the provisions and requirements hereof.

"(c) Annual Obligation. If, in the judgment of the Board, any Participant has been or will be unable to satisfy its Annual Obligation, the Board shall fix, levy, charge, and collect rentals, rates, fees, and charges for goods

and services furnished by such Participant and, with respect to Participants with enrolled students, the Pledged General Tuition, and, if necessary pursuant to subsection (b)(i) above, the Pledged General Fee, effective at the next succeeding regular semester or semesters or summer term or terms, in amounts sufficient, without limit (subject to the provisions of (e) below), together with other legally available funds, including other Pledged Revenues attributable to such Participant, to enable it to make its Annual Obligation payments.

“(d) Anticipated Deficit. If the Board determines, for any reason whatsoever,

“(i) that there are not anticipated to be sufficient legally available funds, including Pledged Revenues, to meet all financial obligations of the Board relating to the Financing System, including the deposits and payments due on or with respect to the Parity Obligations Outstanding at that time as the same mature or come due, or

“(ii) that any Participant will be unable to pay its Annual Direct Obligation in full, then the Board shall fix, levy, charge, and collect the Pledged General Tuition, and, if necessary pursuant to subsection (b)(i) above, the Pledged General Fee, at each Participant with enrolled students, effective at the next succeeding regular semester or semesters or summer term or terms, in such amounts, without any limitation whatsoever (other than as provided in (e) below), as will be at least sufficient to provide, together with other legally available funds, including other Pledged Revenues, the money for making when due all financial obligations of the Board relating to the Financing System including all payments and deposits due on or with respect to Outstanding Parity Obligations when and as required by this Resolution or any Supplement.

“(e) Economic Effect of Adjustments. Any adjustments in the rate or manner of charging for any rentals, rates, fees, tuition, or other charges included in Pledged Revenues, including the Pledged General Tuition and the Pledged General Fee, if any, at any of the Participants pursuant to (c) or (d) above will be based upon a certificate and recommendation of a Designated Finance Officer, delivered to the Board, as to the rates and anticipated collection of the Pledged Revenues at the various Participants (after taking into account the anticipated effect the proposed adjustments in such rentals, rates, fees, tuition, or other charges would have on enrollment and the receipt of Pledged Revenues and other funds at each Participant) which will be anticipated to result in

“(i) Pledged Revenues attributable to each Participant being sufficient (to the extent possible) to satisfy the Annual Obligation of such Participant and

"(ii) Pledged Revenues being sufficient, together with other legally available funds, to meet all financial obligations of the Board relating to the Financing System including all deposits and payments due on or in connection with Outstanding Parity Obligations when and as required by this Resolution and any Supplement."

Section 3. CHANGES. Prior to the effective date of this Resolution, the Deputy Chancellor and the General Counsel are authorized to approve any technical amendments to this Resolution requested by the rating agencies as a condition to their issuance or maintenance of a rating on Parity Obligations or by the Attorney General of the State of Texas as a condition to the approval of an issue of Parity Obligations.

Section 4. FURTHER PROCEDURES. The Deputy Chancellor and the other officers, employees, and agents of the University, and each of them, shall be and they are hereby expressly authorized, empowered, and directed from time to time and at any time to do and perform all such acts and things and to execute, acknowledge, and deliver in the name and under the corporate seal and on behalf of the Board all such instruments, whether or not herein mentioned, as may be necessary or desirable in order to carry out the intent, the terms, and the provisions of this Resolution. The designation by the Board of the Deputy Chancellor as the Designated Financial Officer is hereby confirmed, and the Deputy Chancellor, acting as the Designated Financial Officer, is hereby authorized and directed to give such notices as are required to implement this Resolution.

Section 5. NO IMPAIRMENT OF OUTSTANDING PARITY OBLIGATIONS. As provided in Section 55.24 of the Code, as amended by S.B. 1907, the changes made by S.B. 1907 shall not affect any pledge or any covenants with respect to outstanding bonds and notes and all such pledges and covenants shall remain in full force and effect in accordance with the terms and provisions thereof. In furtherance of Section 55.24 and notwithstanding the provisions of this amending resolution supplementing the security for the Outstanding Parity Obligations, the Board covenants for the benefit of the Holders of the Outstanding Parity Obligations to comply with each and every covenant in the Master Resolution and the Supplements thereto existing as of the date of issuance of such Outstanding Parity Obligations so long as such Outstanding Parity Obligations are Outstanding to the extent necessary to prevent a default in connection with any payment due with respect to such Outstanding Parity Obligations.

Section 6. EFFECTIVE DATE. This Resolution shall become effective immediately upon its adoption. Other than set forth in this Resolution, the Master Resolution is not amended, altered, or rescinded and is in full force and effect.

Section 7. PUBLIC NOTICE. It is hereby found and determined that each of the officers and members of the Board was duly and sufficiently notified officially and personally, in advance, of the time, place, and purpose of the Meeting at which this Resolution was adopted, and that this Resolution would be introduced and considered for adoption at said Meeting; that said Meeting was open to the public, and public notice of the time, place, and purpose of said Meeting was given, all as required by Chapter 551, *Texas Government Code*.

Attachment

05.06

Investment Policy Statement for Endowment and Certain Long-Term Institutional Funds

(1) Preface

This policy statement is issued by the Board of Regents of Texas Tech University (~~TTU~~) and Texas Tech University Health Sciences Center (~~HSC~~) (together, the two institutions are referred to hereafter in this Policy as "Texas Tech") for guidance in the investment of endowment and other long-term institutional funds, ~~assets not currently invested in the Cash Investment Pool.~~

Endowment funds are funds given to ~~TTU/HSC~~ Texas Tech with a donor-imposed restriction that the corpus is not to be expended but is to be invested for the purpose of producing income. Endowment funds may also include term endowment (funds for which the donor stipulates that the principal may be expended after a stated period or upon the occurrence of a certain event) and funds functioning as endowments (quasi-endowments).

Endowment funds are a subset of institutional funds. Institutional funds include all funds held by ~~TTU/HSC~~ Texas Tech for which ~~TTU/HSC~~ Texas Tech has the sole right to determine their use. Specifically, this means any funds that are not controlled by the State, such as State appropriated or other Educational and General funds.

(2) Fiduciary Responsibility

The Board of Regents of ~~Texas Tech University and Texas Tech University Health Sciences Center~~ has a fiduciary responsibility to comply with the restrictions imposed by the donors of endowment funds. The Regents also have a legal responsibility to ensure that the management of endowment and other institutional funds is in compliance with Subchapter A, Chapter 51, Education Code and, to the extent applicable, Section 163.002, of the Property Code (the Uniform Management of Institutional Funds Act).

(3) Investment Philosophy - Management Procedures

No endowment or other institutional fund shall be considered for management under this Policy Statement unless it is under the sole control, with full discretion as to investment of principal and expenditure of spendable income, of the Board of Regents of Texas Tech ~~University or Texas Tech University Health Sciences Center~~. Further, the Vice Chancellor for Institutional Advancement shall ensure that there are no donor-imposed restrictions preventing the use of the ~~Consolidated Endowment Fund~~ Long-Term Investment Fund, including restrictions against both investment in equity securities or corporate debt, and expenditure of net realized appreciation of existing endowment funds. The donors of existing endowment funds shall be advised of changes to the investment philosophy and policy to be used in connection with endowment accounts. The beneficiaries (account managers) of endowments whose funds are currently invested in the ~~Cash Investment Pool~~ Short/Intermediate Term Investment Fund shall be advised by the Deputy Chancellor of the redeployment of such endowments into the ~~Consolidated Endowment Fund~~ Long-Term Investment Fund. Future donors shall be advised of the investment policy at the times their gifts are made. Funds excluded from consideration from this Policy Statement will be invested in the ~~Cash Investment Pool~~ Short/Intermediate Term Investment Fund, as authorized by Board Policy 04.11 or, if instructed by the donor, will be managed and safeguarded in their original form.

The commingled endowment/institutional fund is to be known as the "~~Consolidated Endowment Fund~~" (GEF) Long-Term Investment Fund. The GEF Long-Term Investment Fund shall be unitized and each new endowment gift added to the Fund shall receive units in the Fund based upon the market value of the gift and the unit value of the fund at the latest month end preceding the date of receipt of the gift. The unit value of the GEF Long-Term Investment Fund shall be determined at least monthly. Income determined under the Policy Statement's Spending Policy shall be calculated on a unit basis for distribution purposes.

The ~~Consolidated Endowment Fund~~ Long-Term Investment Fund may invest in such securities and investments as permitted by Subchapter A of Chapter 51, Education Code and Section 163.002, of the Property Code (Uniform Management of Institutional Funds Act). The GEF Long-Term Investment Fund may be further limited to such eligible investments as adopted by the Board of Regents (see section (9), "Asset Allocation", below).

In addition, the GEF Long-Term Investment Fund may retain, with the approval of the Board of Regents, those professional services deemed appropriate for the management and investment of the GEF Fund. All investment managers employed shall be registered under the Investment Act of 1940 and provide the most recent advisor registration form (ADV) filed with the SEC.

(4) Standard of Conduct

In the administration and management of the ~~Consolidated Endowment Fund~~ Long-Term Investment Fund, the Board of Regents and institutional personnel shall exercise ordinary business care and prudence under the facts and circumstances prevailing at the time to the action or decision. The Board of Regents and institutional personnel shall consider both the long-term and short-term needs of Texas Tech University and Texas Tech University Health Sciences Center in carrying out their educational purposes, their present and anticipated financial requirements, the expected return on their endowment investments, price level trends and general economic conditions.

(5) Endowment Investment Committee

~~The Endowment Investment Committee shall be appointed by the Board Chair.~~

(6) (5) Financial Goal

The financial goal for management of endowment and long-term institutional funds is to preserve the real (i.e. inflation-adjusted) purchasing power of the endowment principal and income after accounting for endowment spending, inflation and costs of investment management. Performance of the ~~endowment funds~~ Long-Term Investment Fund against this objective is to be measured over rolling 5 year periods ~~of at least 10 years,~~ which should encompass several market cycles.

(7) (6) Investment Objectives

(A) Total Fund

~~The primary investment objective for the endowment total return for the Long-Term Investment Fund is expected to earn, over the long-term, an average annual "real" total return, net of investment management costs, of 5.0 percent. exceed the Consumer Price Index plus 5% and to exceed a target Balanced Index comprised of: 40% of the S&P 500 Stock Index, 15% of the Russell 2000 Index, 15% of the EAFE Index and 30% of the Lehman Brothers Aggregate Bond Index. This These objectives shall be measured over rolling 10-year 5-year periods.~~

~~It is also an objective that the fund outperform each of the capital markets in which assets are invested, measured over trailing five years or complete market cycles, whichever period is longer.~~

(B) Equity Managers

~~Managers of equities are expected to produce a cumulative annualized total return, net of management costs, that at least equal the S&P 500. The total return for each equity manager is expected to exceed the total return of the relevant equity benchmark: Domestic Large Cap - S&P 500 Stock Index, Domestic Mid Cap - S&P 400 Mid Cap Index, Domestic Small Cap - Russell 2000 Index, Core International - EAFE Index.~~

~~Each equity investment manager will be evaluated versus an equity investment manager universe and is expected to rank above the median over a moving three year period of investment managers with a similar investment style (e.g., large cap value, small cap growth, etc.).~~

~~Each equity investment manager is expected to maintain a volatility (beta) no greater than 1.20 versus the relevant equity benchmark.~~

~~The risk-adjusted performance (alpha) is expected to be positive.~~

(C) Fixed Income Managers

~~Managers of fixed income securities are expected to produce a cumulative annualized total return, net of management costs, that at least equals the Shearson Lehman Government/Corporate Bond Index. The total return of each fixed income managers is expected to exceed the total return of the Lehman Brothers Aggregate Bond Index or the Lehman Brothers Intermediate Government/Corporate Bond Index.~~

~~Each fixed income manager will be evaluated versus a fixed income universe and is expected to rank above the median of that universe over a moving three year period.~~

~~Each fixed income manager is expected to maintain a volatility (beta) no greater than 1.20 versus the Lehman Brothers Aggregate Index or the Lehman Brothers Intermediate Government/Corporate Bond Index.~~

~~The risk-adjusted performance (alpha) is expected to be positive.~~

Total return is defined as the sum of earned interest and dividends, realized and unrealized gains or losses, less all investment management costs.

Investment managers will be reviewed on an ongoing basis and evaluated based upon the following criteria:

- Adherence to the philosophy and style that was articulated at, or subsequent to, the time the investment manager was retained.
- Continuity of personnel and practices at the firm.

~~Real total return is defined as the total return adjusted for inflation as measured by the Consumer Price Index.~~

~~(8)~~ (7) Spending Policy

~~Texas Tech University and Texas Tech University Health Sciences Center~~ recognizes the need for spendable income by the beneficiaries of the endowment and long-term institutional funds under their custodianship. The following spending policy reflects an objective to distribute as much total return as is consistent with overall investment objectives defined herein while protecting the real value of the endowment principal.

The following definitions are used:

Total return is defined as the sum of total interest and dividends and realized and unrealized gains, less all investment management costs.

Net current yield is defined as the sum of total interest and dividends earned, less all investment management costs.

Spendable income is defined as that portion of total return (less the net unrealized appreciation of ~~endowment assets~~) allocated for spending as discussed below.

The distribution of spendable income to each unit of the ~~Consolidated Endowment Fund~~ Long-Term Investment Fund shall not exceed 6 percent nor be less than 4 percent of the average market value of a unit of the GEF Long-Term Investment Fund for the preceding 12 quarters. The target annual distribution rate shall be 4.5 percent of the average unit market value. Distribution shall be made quarterly, as soon as practicable, after the last calendar day of November, February, May and August. The distribution amount shall be recalculated based on a 12 quarter rolling average. The target annual distribution rate will be phased in as follows:

FY 1996-1997	Payout 4% of last 4 quarters Average Market Value
FY 1997-1998	Payout of 4.5% of last 8 quarters Average Market Value
FY 1998-beyond	Payout of 4.5% of last 12 quarters Average Market Value

The target annual distribution rate shall be reviewed annually ~~by the Endowment Investment Committee~~ with any recommended changes submitted to the Board of Regents for approval.

If in any given fiscal year the total return, excluding net unrealized appreciation, shall be less than the target annual distribution, the actual distribution shall be limited to the net current yield, not to exceed 4.5 percent. To minimize the potential effect of year-to-year fluctuations of annual distribution rates, the use of a revenue stabilization reserve may be utilized.

(9) (8) Asset Allocation

To achieve the goal and objectives of the Consolidated Endowment Fund Long-term Investment Fund, the Fund's assets may be invested into two categories: an equity component and a fixed-income component. The GEF Long-Term Investment Fund shall be diversified both by asset class and, within asset classes, by economic sector, industry and market capitalization (size). The purpose of diversification is to limit the specific risk associated with any single security or class of securities. The asset allocation of the Long-Term Investment Fund shall be structured as follows:

<u>Type of Securities</u>	<u>Target</u>	<u>Range</u>
<u>Equity</u>	<u>70%</u>	<u>40-80%</u>
<u>Domestic Large Cap</u>	<u>40%</u>	<u>20-40%</u>
<u>Domestic Small Cap</u>	<u>15%</u>	<u>10-20%</u>
<u>International</u>	<u>15%</u>	<u>10-20%</u>
<u>Fixed Income</u>	<u>30%</u>	<u>20-40%</u>
<u>Cash</u>	<u>-</u>	<u>0-10%</u>

The asset allocation shall be monitored on an ongoing basis and rebalanced on a yearly basis. Any rebalancing of assets will be done shortly after the end of each fiscal year.

The equity component shall include readily marketable, domestic and international common stocks. It may also include convertible and preferred stocks. Established, equity mutual funds may also be considered in the equity component. The investment purpose for equity securities is to provide high real total rates of return and to provide both long-term capital appreciation and growth in current income that exceed the rate of inflation. The equity component shall not exceed 70% of the total market value of the Consolidated Endowment Fund, nor be less than 30% of the GEF's total market value.

Each equity manager is expected to stay fully invested in equities. In general, cash or cash equivalents should not exceed 5% of the market value of each equity portfolio.

In the event of severe economic / market conditions or strong liquidity needs, the investment managers may raise a significant amount of cash. Any such decision arising from economic / market conditions must be explained in writing to the Assistant Vice Chancellor for Investments within 10 working days thereafter. Any other deviations must first be communicated to, and approved in writing, by the Board of Regents or its designees.

The fixed-income component shall include marketable domestic and international government/government agency and corporate obligations that meet or exceed a credit rating of "A" from Standard & Poor's and/or an "A" rating from Moody's. The fixed income portfolio must have an overall weighted average credit rating of "AA" or better by Moody's and/or Standard & Poor's rating services. In addition, no more than 10% of the portfolio may be invested in bonds rated below investment grade ("BBB/Baa").

The use of established bond mutual funds may also be considered. The investment purpose for fixed-income securities is to provide a hedge against deflation or stock market downturns, to provide a high level of current income, to provide a stable source of revenue and to provide diversification of endowment assets. The fixed-income component shall not exceed 70% of the GEF's total market value nor be less than 30%.

~~(9) (A) Equity Manager's Guidelines~~

- ~~(A) Each investment manager must satisfy the performance objectives and asset allocation guidelines.~~
- ~~(B) Each investment manager shall have the full investment discretion with regard to market timing and security selection, consistent with this Policy Statement.~~
- ~~(C) Each investment manager shall handle the voting of proxies and tendering of shares in a manner that is in the best interest of the Long-Term Investment Fund and consistent with the investment objectives contained herein.~~
- ~~(D) For diversification purposes, each equity portfolio manager should have in excess of 20 positions.~~
- ~~(E) Equity managers are authorized to invest only in domestic and international equity securities listed on an established exchange.~~
- ~~(F) Investment grade bonds issued by foreign corporations or governments shall be eligible investments. Not more than 10% of the fixed income portfolio shall be invested in foreign securities.~~
- ~~(G) Not more than 5.0% of the equity stock of any one corporation may be owned by the GEF Long-Term Investment Fund.~~
- ~~(H) No more than 5.08.0% of the GEF's equity component each manager's portfolio at market value may be invested in any one equity security, with the exception of securities issued by the U.S. Government or its agencies.~~
- ~~(I) No more than 25.0% of the GEF's equity component each investment manager's portfolio may be invested in any one industry segment.~~
- ~~(J) Not more than \$500,000 of an investment manager's portfolio shall be invested in commercial paper of any one issuer. The credit quality must be A1/P1.~~
- ~~(K) Not more than \$100,000 shall be invested in Bank Certificates of Deposit of any single issuer.~~
- ~~(L) All purchases and sales transactions shall be conducted with the view toward obtaining the best net execution.~~
- ~~(M) More restrictive guidelines may be established by the Endowment Investment Committee with each individual outside equity investment manager.~~

~~(B) Fixed Income Managers Guidelines~~

~~With the exception of obligations of the U.S. Government or its agencies, no purchase shall be made that will cause any one issuer's security to exceed 5% of the market value of the GEF's Long-Term Investment Fund's fixed income component. Money market instruments may be used in the fixed income component. Managers are prohibited from speculating in fixed income or interest rate futures or options. The fixed income component may include investments in foreign bonds. No tax-exempt issues may be held in the fixed income component.~~

(G) (10) Exclusions And Prohibited Activities

In addition to the limitations discussed above, the following activities are will not be authorized by the Board of Regents:

- Purchase of unregistered or restricted stock
- Investment in private placements and non marketable securities
- ~~Placement of short or long financial index future, forwards and options positions~~
- ~~Purchase of nondollar-denominated transactions, currency futures, options, and forward transactions~~
- Selling securities short, buying securities on margin, borrowing money, hypothecating or pledging GEF Long-Term Investment Fund assets or buying or selling ~~uncovered options~~, commodities or currencies
- ~~Entering into any securities lending program or conditional sales contract~~
- Other limitations as may be provided by state law.

Utilizing derivative securities to increase the actual or potential risk posture of the portfolio is not authorized. Subject to other provisions in this Policy Statement, the use of primary derivatives, including, but not limited to, structured notes, lower class tranches of collateral mortgage obligations (CMOs)*, principal only (PO) or interest only (IO) strips, inverse floating securities, futures contracts, options, and such other specialized investment activity is prohibited.

Moreover, the investment managers are precluded from using derivatives to effect a leveraged portfolio structure (if options and futures are specifically approved by the Board of Regents, such positions must be offset in their entirety by corresponding cash or securities).

The Board of Regents must explicitly authorize the use of such derivative instruments, and shall consider certain criteria including, but not limited to, the following:

- i. Manager's proven expertise in such category.
- ii. Value added by engaging in derivatives.
- iii. Liquidity of instruments.
- iv. Actively traded by major exchanges (or for over-the-counter positions, executed with major dealers).
- v. Manager's internal procedures to evaluate derivatives, such a scenario and volatility analysis and duration constraints.

* Lower class defined by Federal Financial Institutional Examination Council (FFIEC).

(+0) (11) Investment Managers

The Consolidated Endowment Funds Long-Term Investment Funds will be managed primarily by external investment management organizations. Each manager will be provided with a copy of this Policy Statement. Investment managers will be delegated with the discretion to manage the assigned assets to best achieve the goal and objectives of the GEF Long-Term Investment Fund. In addition, the manager will be informed of the expected spending payouts necessary for distribution to endowment recipients and the comparative benchmarks that will be used to evaluate performance.

The selection of investment managers shall be proposed by the ~~Endowment Investment Committee and ratified~~ approved by the Board of Regents of TTU and HSG Texas Tech. ~~The Endowment Investment Committee shall use a~~ A competitive sealed proposal process will be used to select those investment managers that best demonstrate the necessary competence and qualifications.

(11) (12) Communications and Reporting

The investment managers are responsible for frequent and open communication with the ~~Endowment Investment Committee~~ on all significant matters pertaining to the investment policies and the management of the GEF's Long-Term Investment Fund assets. These reporting responsibilities include:

- Communication of major changes in the investment manager's investment outlook, strategy and portfolio structure.
- Communication of significant changes in the ownership, organizational structure, financial condition or personnel staffing.
- Communicating, on a monthly basis, of all investment activities during the preceding month. Providing valuation reports of the month end portfolio holdings.
- Communicating, on a quarterly basis, the performance of investment manager's activities.
- Meeting with the ~~Endowment Investment Committee~~, at least semi-annually, to discuss the manager's performance, investment outlook, investment strategy and portfolio rebalancing strategies.

~~The Endowment Investment Committee shall, At~~ the beginning of each fiscal year, present to the Board of Regents a report of the ~~Consolidated Endowment Fund's~~ Long-Term Investment Fund's investment activities for the preceding year together with a summary of each investment manager's performance shall be presented to the Board of Regents.

GUIDELINES FOR PERIODIC EVALUATION OF TENURED FACULTY

PREAMBLE

The Board of Regents of Texas Tech University/Texas Tech University Health Sciences Center recognizes the importance of tenure for university faculty as a protection of free inquiry and open intellectual and scientific debate. Academic institutions have a special need for practices that protect freedom of expression, since the core of the academic enterprise involves a continual reexamination of ideas. Academic disciplines thrive and grow through critical analysis of conventions and theories. Throughout history, the process of exploring and expanding the frontiers of learning has necessarily challenged the established order. That is why tenure is so valuable, not merely for the protection of individual faculty members, but also as an assurance to society that the pursuit of truth and knowledge commands our first priority. Without freedom to question, there can be no freedom to learn.

The Board of Regents supports a system of periodic evaluation of all tenured faculty. Periodic evaluation is intended to enhance and protect, not diminish, the important guarantees of tenure and academic freedom. The purpose of periodic evaluation is to provide guidance for continuing and meaningful faculty development; to assist faculty to enhance professional skills and goals; to refocus academic and professional efforts, when appropriate; and to assure that faculty members are meeting their responsibilities to the University and the State of Texas. The Board of Regents is pledged to regular monitoring of this system to ensure that it is serving its intended purposes and does not in any way threaten tenure as a concept and practice. By providing a policy for periodic performance evaluations, the institutions shall maintain an appropriate balance of emphasis on teaching, research, service and other duties of faculty. This policy shall be implemented for all tenured faculty members not later than January 1, 2004.

GUIDELINES

Texas Tech University/Texas Tech University Health Sciences Center will develop institutional policies and plans consistent with the following guidelines for a periodic evaluation of tenured faculty and will implement the plan no later than September 1, 1997. Institutional policies are to be developed with appropriate faculty input, including consultation with and guidance from faculty governance organizations, and are to be included in each institutional operating Policy and Procedure manual after review and approval by the Presidents of Texas Tech University and Texas Tech University Health Sciences Center and submission to the Board of Regents for review and final approval. Periodic evaluations of tenured faculty while distinct from the annual evaluation process now required of all employees may be integrated with the annual evaluation process to form a single comprehensive faculty development and evaluation process. Nothing in these guidelines or the application of institutional evaluation policies shall be interpreted or applied to infringe on the tenure system, academic freedom, due process, or other protected rights, nor to establish new term-tenure systems or require faculty to reestablish their credentials for tenure.

Operating Policy and Procedure Manuals shall be drafted to establish a streamlined, efficient process and will include the following minimum elements for periodic evaluation:

1. Comprehensive evaluations of tenured faculty will be conducted no more often than once every year, but no less often than once every six (6) years, after the faculty member was granted tenure or received academic promotion. Periods when a faculty member is on leave are not counted in calculating when the comprehensive evaluation is required. The evaluation may not be waived for any tenured faculty member but may be deferred in rare circumstances when the review period will coincide with comprehensive review for tenure, promotion, or appointment to an endowed position. No deferral of an active faculty member may extend beyond six (6) years. Administrators with academic appointments who

are subject to review under other policies or procedures and are not assigned to or paid for the performance of customary faculty duties will be subject to comprehensive periodic evaluation within six (6) years of return to active faculty service. The requirement of periodic review does not imply that individuals with unsatisfactory annual evaluations may not be subject to further review and/or appropriate administrative action.

2. The evaluation process will be directed toward the professional development of the faculty member and shall include review of the faculty member's duties and responsibilities such as teaching, research, service, administration (when applicable), and, for faculty with clinical responsibilities, patient care.
3. Reasonable individual notice of at least six months of intent to review will be provided to a faculty member.
4. The faculty member being evaluated shall submit a resume, including a summary statement of professional accomplishments, and shall submit or arrange for the submission of annual reports and teaching evaluations. The faculty member may provide copies of a statement of professional goals, a proposed professional development plan, and any other additional materials the faculty member deems appropriate.

In accordance with institutional policy, evaluation of the faculty member's performance may be carried out by the departmental representatives, department chair (or equivalent), dean, and peer review panel, but in any event must be reported to the chair (or equivalent) and dean for review. Evaluation shall include review of the current resume, student evaluations of teaching for the review period, annual reports for the review period, and all materials submitted by the faculty member.

Peer review is required by institutional policy. This peer review process may be initiated by the faculty member, department chair (or equivalent) or dean. The faculty member will be provided with an opportunity to meet with the peer review committee.

5. Results of the evaluation will be communicated in writing to the faculty member, the department chair/dean, the chief academic officer, and the president for review and appropriate action. Possible uses of the information contained in the report should include the following:

For individuals found to be performing well, the evaluation may be used to determine salary recommendations, nomination for awards, or other forms of performance recognition.

For individuals whose performance indicates they would benefit from additional institutional support, the evaluation may be used to provide such support (e.g., teaching effectiveness assistance, counseling, or mentoring in research issues/service expectations).

For individuals found to be performing unsatisfactorily, review to determine if good cause exists for termination under the current Regents' policy may be considered. All proceedings for termination of tenured faculty on the basis of periodic performance evaluation shall be only for incompetency, neglect of duty or other good cause shown and must be conducted in accordance with the due process procedures contained in the Board of Regents' policy. This includes an opportunity for referral of the matter to mediation as described in Chapter 154, Civil Practice & Remedies Code or, if both parties agree another type of alternative dispute resolution may be elected. Such proceedings must also include a list of specific charges by the chief administrative officer and an opportunity for a hearing before a faculty tribunal. In all such cases, the burden of proof shall be on the institution, and the rights of a faculty member to due process and academic freedom shall be protected.

The acceptance and success of periodic evaluation for tenured faculty will be dependent upon a well-executed, critical process and an institutional commitment to assist and support faculty development. Thus, remediation and follow-up review for faculty who would benefit from such support, as well as the designation of an academic administrator with primary responsibility for monitoring such needed follow-up activities, are essential.

A copy of these Guidelines and any amendments to the Guidelines shall be filed with the Coordinating Board on or before September 1 of each year.

Report of the Committee on Admission Standards, Texas Tech University Board of Regents

August 22, 1997

Committee members: Jim Sowell (chair), Dr. Nancy Jones, and Michael Weiss

The Committee on Admission Standards was created by the Board of Regents in May of 1997 and was charged “to review and make recommendations for admission standards for Texas Tech University.”

It should be noted that, **for the University’s entering class of undergraduates for the 1991-92 academic year, only 35 percent graduated from Texas Tech within five years.** While the implementation of admission standards that were fully phased-in by 1991 has had and will continue to have a positive impact on the University’s graduation rate, the University must take further steps to improve its graduation rate.

Thus, the Committee’s focus has been on ways in which the University can improve the overall academic quality of its student body – measures which would ultimately lead to a significant improvement in the current graduation rate at Texas Tech.

Standards for admission to the University are a key factor in improving graduation rates, but other factors play pivotal roles in Texas Tech’s ability to attract and graduate top quality students – namely scholarship offerings, recruiting activities and retention efforts.

The Committee has sought extensive information regarding each of these factors, and based on a review and analysis of that information, the Committee has determined that:

- ♦ **Enhanced scholarship offerings, recruitment and retention are the three most important ways to improve the University’s graduation rate, and “personalizing” each of these activities on a sustained basis for prospective and enrolled students is the key to success.**
- ♦ **To provide a more focused and coordinated effort in implementing these enhancements, the University should establish the position of Vice President for Enrollment Management, which would oversee the activities of Admissions and Records, New Student Relations (i.e., academic recruiting), Student Financial Aid, new student orientation, Tech Transitions and other functions deemed appropriate. The University should proceed with this re-alignment as quickly as possible, filling the Vice President’s position on an interim basis if need be.**

♦ The efforts of the Vice President for Enrollment Management – and the University as a whole, for that matter – should be focused on achieving the following goals over a five-year time frame:

- ♦ The University will be admitting incoming freshman classes that can achieve a graduation rate of 60 percent or better. (*see ★ below*)
- ♦ At least 50 percent of our admissions will be from the Top 10 percent of their high school graduating classes, and 80 percent or more will be from the Top 25 percent of their high school classes. (*see ★ below*)
- ♦ The average SAT of the University's incoming classes will have reached 1200. (*see ★ below*)
- ♦ The acceptance rate of applicants to the University will be less than 50 percent.
- ♦ At least 25 percent of the University's undergraduate enrollment will be on some level of academic achievement scholarship.

★ Until the first three goals listed above are achieved, the size of the University's incoming freshman class should not exceed the level experienced in the Fall of 1996 – which was, 3,520 “new freshmen from high school.”

The Committee's report is a road map to be used in the University's efforts to improve its graduation rates. During the development of an implementation plan, if any of the recommendations herein are identified as problematic or better alternatives are identified, the University is encouraged to seek the guidance of the Committee. A more detailed review of the Committee's findings and recommendations follows.

NOTE: The Committee wishes to express its sincere appreciation for the information provided to and the work done for the Committee by University personnel from a number of different areas. The University personnel consulted in this process included: Dr. Donald Haragan, President; Gene Medley, Director of Admissions and Records; Dr. Gary Bell, Director of the Honors Program; Earl Hudgins, Director of Financial Aid; Dr. Arturo Olivarez, Vice President of the Faculty Senate; Dr. John Howe, past president of the Faculty Senate; Jim Brunjes, Vice President for Fiscal Affairs; Marty Grassel, Director of New Student Relations; Jack Tayrien, Director of Football Operations; Cathy Allen, Director of Personnel; Dr. Robert Ewalt, Vice President for Student Affairs; Dr. Michael Shonrock, Dean of Students; Dr. James Brink, Assistant Provost and Coordinator of the Freshman Seminar; Gary Wiggins, Director of Institutional Research; Russell Thomasson, President of the Student Association; and Jim Douglas, Assistant Director of the Ex-Students Association.

We would especially like to thank Ben Lock for the assistance he provided in the coordination of the staff work of the Committee and in the preparation of this report.

ADMISSION STANDARDS

The Committee recognizes that certain revisions to the University's current admission policies will be required by legislative mandate. Other revisions the Board may consider would be internally driven, such as those arising from the recommendations of this Committee. ***Thus, the Committee suggests that all changes to the University's official admission policies be formally considered by the Board of Regents at its November 1997 meeting, so that action on these revisions may be fully deliberated in a coordinated manner.***

ASSURED ADMISSION:

Standards for assured admission to Texas Tech appear to be reasonable and adequate but must be revised to reflect changes required by H.B. 588 (1997 legislative session).

H.B. 588 requires public institutions of higher education in Texas to admit undergraduate applicants who were in the Top 10% of their high school graduating class. Currently, Texas Tech grants assured admission to Top 10% applicants only if their SAT score (or ACT equivalent) is 1010 or above. [see Attachment 1 for a description of Texas Tech's admission requirements and process]

H.B. 588 authorizes institutions, at their option, to grant assured admission to applicants who were in the Top 25% of their high school class. ***The Committee is not in favor of granting automatic admission to applicants who were in the Top 25% of their high school class but not in the Top 10%.*** The preferable system would be for applicants in the Top 11-25% to also meet a minimum score on the SAT or ACT before assured admission is granted.

ADMISSION REVIEW:

Texas Tech's admission review process – whereby applicants not granted assured admission may be admitted upon an individual review of their application – must also be re-examined from the perspective of both H.B. 588 and the internally-driven need to ensure that admission decisions for applicants who do not meet assured admission criteria focuses on applicants with a reasonable chance of completing a college degree.

H.B. 588 provides a set of 17 factors that colleges and universities may use in considering applicants not granted assured admission (an 18th factor is “any other consideration the institution considers necessary to accomplish the institution's stated mission”). Texas Tech will need to determine which of these factors not already used in its admission review process should be incorporated. While these criteria are optional, it is recognized that the Legislature will be examining the actions of Texas public colleges and universities to evaluate the extent to which some of the more subjective measures are used in the admissions process. The University must also keep in mind that efforts to provide educational opportunities to a more culturally diverse student population should not have to come from external directives – they should be internally generated as a recognition of it being the right thing to do.

In deliberating other changes to the University's admission review process, it was not lost on the Committee that approximately two-thirds of the University's “new freshmen from high school” who enrolled in the Fall of 1996 were admitted under the review category. With such a large number of students being admitted who did not meet the assured admission standards, Texas Tech must ensure that its review process fairly identifies students who have a reasonable chance at success in course work (and completing a degree) at Texas Tech.

The Committee also noted that the segment of Texas Tech's incoming freshman class for Fall 1991 who were admitted under the review process had a five-year graduation rate

significantly below their classmates who qualified for assured admission – 30% versus 42%. This is an indication that the current review process does not adequately identify applicants who have a reasonable chance at success.

For that reason, *the Committee recommends that the University's admission review process be revised to "raise the bar" for applicants seeking admission through this route.* In looking at the incoming class of "new freshmen from high school" for Fall 1996, the applicants in question would total 300-350 applicants and include those with the following characteristics:

- ▶ Bottom half of high school class with an SAT score below 950; plus
- ▶ 2nd Quarter (Top 26-50%) of high school class with an SAT score below 850.
[see Attachment 2]

Applicants with such characteristics (unless other admission review factors indicate differently in individual cases) more appropriately belong in the provisional admission category, whereby the applicants can present a proven record of success in college-level course work before being granted admission to Texas Tech for a Fall semester.

The Committee did find interesting the fact that, for Fall 1996, the University enrolled 298 applicants whose SAT scores were below 900. By comparison, the University enrolled 402 students whose SAT scores were at or above 1200. [see Attachment 3] To the extent that fewer of the former group and more of the latter group enroll at Texas Tech, graduation rates at the University will improve.

PROVISIONAL ADMISSION:

The very nature of provisional admission is to allow some applicants to demonstrate that, despite what their performance in their high school classroom or on college entrance exams may indicate, they are capable of successfully completing college-level courses.

At Texas Tech, a student granted provisional admission must complete certain requirements before being allowed to enroll at the University for a Fall semester. The requirements at Texas Tech include passage of six hours of basic courses at any accredited junior, community or four-year college with a GPA of at least 2.0. This course work may be completed during summer school (to allow admission for the Fall semester following graduation from high school), or the student may elect to sit out of college until the following Spring semester. For the Fall of 1996, 219 "new freshmen from high school" were admitted to the University after completing their provisional admission requirements in summer school, and only about 20 enrolled at Texas Tech for the Spring semester after sitting out the Summer and Fall semesters.

Experience shows that most who have been admitted to the University in this manner never complete their degree at Texas Tech. In fact, for the incoming freshman class of Fall 1991, the five-year graduation rate for such students was in the neighborhood of 10-11%. In more recent years, students who enroll at Texas Tech after fulfilling provisional admission requirements must follow certain advising and counseling procedures not required of other students, and support programs of this nature will likely result in improved graduation rates for such students.

However, the current requirements for provisional admission at Texas Tech do not, in the Committee's opinion, represent an adequate measure of such applicants' ability to perform academically at Texas Tech. *The Committee recommends that the requirements for provisional admission to Texas Tech be revised to include: 12 hours of required, basic courses; a GPA of 2.25; and all course work must be completed at Texas Tech.*

TRANSFER STUDENTS:

The current requirements for a student to transfer to Texas Tech from another institution includes having a cumulative 2.0 GPA for all course work attempted at other institutions and the ability to re-enroll at the most recent institution attended.

For the 1995-96 academic year, 42% of the total new undergraduates admitted to the University came via transfer (two-thirds of the transfers came in the Fall semester and one-third came in the Spring).

In light of the Committee's recommendations regarding admission review and provisional admission standards and in recognition that the transfer option represents a significant mode of entry into the University for those who do not enroll in the University directly from high school, *the Committee recommends that applicants for admission by transfer who would be transferring less than 24 hours of college course work must meet the same standards for admission as "new freshmen from high school" in addition to the requirements of a 2.0 cumulative GPA in their college courses and eligibility to return to the institution most recently attended.*

SCHOLARSHIPS AND OTHER INCENTIVES TO TOP ACADEMIC RECRUITS

SCHOLARSHIP OFFERINGS:

In contemporary higher education, a major component in the ability of an institution to attract top scholars is the number and amount of scholarships the institution can offer.

In the past year, Texas Tech University has made good progress in expanding the scholarships it can offer high-quality academic recruits. The benefits of a greater number of Presidential Scholarships (at \$3,000/year) and a significant number of new Honors Scholarships (at \$2,000/year) are already beginning to show in both the number of top recruits expressing an interest in Texas Tech and the number who are committing to attend the University. These recent gains only accentuate the need to further expand our scholarship availability.

Thus, the Committee recommends that the following scholarship structure be established:

<u>SAT score</u>	<u>Scholarship Amount/Year</u>
1500-1600	\$5,000
1400-1499	\$4,000
1300-1399	\$3,000
1200-1299	\$2,000

[Note: National Merit Scholars would continue to be offered "full ride" scholarships.]

A look at enrollment for the Fall semester of 1996 indicates that, had such a structure been in place then, 449 students would have been eligible for these scholarships at a total annual cost of \$1,075,000. The costs for these same students under the current scholarship structure would have been \$546,000 – a difference of \$529,000. (Note: \$546,000 is not what was actually awarded in 1996 but what would have been awarded that year if the scholarship structure for 1997 had been in place then.)

Thus, the University would need to at least double its scholarship funds availability in order to implement the proposed structure – particularly in light of the greater number of students with high college entrance scores that are now enrolling at Texas Tech.

The funds to support the proposed scholarship structure would be in addition to another part of the scholarship equation – institutional funds to support needs-based scholarships. Texas Tech should expand the availability of the needs-based scholarships it can offer, so that a broader array of students can be assisted with financial support.

The Committee also recommends that the funds to support the proposed scholarship structure and other scholarship needs should come from the University's upcoming capital campaign and from other sources (such as increases in the general use fee), and the funding to support these scholarship initiatives should be in place within two years.

The first \$100 million in funds raised by the capital campaign not otherwise designated should be earmarked for scholarships. Also, up to half of the future increases in the University's general use fee should be earmarked for scholarships.

The general use fee is scheduled to increase by \$2/hour over the next several years (in lock step with tuition increases), and by conservative estimates, the fee increase next year will generate an additional \$1.3 million. Devoting half that amount to scholarships would enable the University to offer 325 new scholarships at \$2,000 per year – which would be the equivalent of about \$7.4 million in endowed scholarships. It should be noted that in its report on Texas Tech, the college assessment service Critical Comparisons of American Colleges & Universities states, "Texas Tech University returned an unusually small fraction of its tuition revenues to students in the form of institutional scholarships (*i.e., awards to students paid for by institutional funds from tuition and fee revenues*)."

OTHER INCENTIVES TO TOP SCHOLARS:

A number of other options should be adopted as incentives for top scholars to attend and graduate from Texas Tech. ***The Committee recommends that:***

- ***The existing Honors Program at the University (currently at 524 students) should be enhanced through establishment of an Honors College with its own dean.***
- ***A formal structure should be implemented for the mentoring of honors students by faculty and upper-division students in order to provide more of a "personal touch" for these top scholars.***
- ***There are now approximately two floors of the Wall/Gates residence complex that are reserved for students in the Honors Program. The University should establish an entire dormitory as an Honors dorm. Alternatively, the University should provide free dorm rooms to Honors students if rooms in the University's residence halls would otherwise go empty.***
- ***The University must pursue a strategy to obtain a Phi Beta Kappa chapter and must continue its efforts to move up to a Carnegie Research I classification.***
- ***A pilot program should be established whereby a select (and small) number of undergraduate applicants are given guaranteed admission to one of the University's graduate and/or professional schools (such as the Law School or Medical School) in return for a commitment to attend and graduate from the University's undergraduate program. This option should be available only for the top-of-the-top academic recruits, and the participating students should be required to maintain some minimum (but high) level of an undergraduate GPA in order to gain entry into the graduate or professional schools through the guaranteed admission.***

ACADEMIC RECRUITING

Both the importance of and focus on recruiting of students need to be elevated at the University so that our contacts with prospective students and our other efforts to "sell" recruits on attending Texas Tech are more personalized and of a consistently high quality.

Expansion of scholarship offerings and other incentives to top students, as addressed previously, should play a major role in the recruiting process. However, Texas Tech's overall approach to academic recruiting must be more aggressive, and to do this, the University must make recruiting a top priority and adopt a campus-wide commitment to support academic recruiting efforts.

The Committee believes that the primary focus of the University's recruiting resources should be targeted on our own back yard – establishing and protecting our home turf, as if were. A geographical area should be defined as Texas Tech's primary service area – the University's home turf – and the University should cover that area like a blanket. Traditionally, West Texas and the Dallas/Fort Worth area have been Texas Tech's home base, and the University should strengthen its efforts to solidify that base. Other areas of the state should not be ignored (particularly the major urban areas in and around Houston, San Antonio, and Central Texas), and more must be done to reach out to recruits in those areas. But, in its own back yard, Texas Tech should have a dominant presence.

The Committee also believes that more resources should be devoted to recruiting efforts, and specifically, funding for a greater number of recruiters in New Student Relations and support for their operations is needed.

New Student Relations (the recruiting arm of the University) currently attempts to cover approximately 1,700 high schools with 10 recruiters. More recruiters are needed in the University's Regional Centers (DFW, Houston and Austin) which currently have one New Student Relations recruiter at each office. For example, to cover Texas Tech's home turf in the Dallas/Fort Worth area, a total of three or four recruiters based there may be needed. Beefing up its "sales force" would allow the University to: (1) reach more prospective students – (2) earlier in their high school career – (3) on a more continuing and more frequent basis.

A suggested source from which to expand funding for the University's recruiting efforts would be the scheduled increases in the general use fee. Whatever the source of funds, the commitment must be made. Compared to other Big 12 Conference institutions, Texas Tech's current academic recruiting budget appears to be in the middle of the pack. If the University is to separate itself from the herd in recruiting, more funds must be provided for this effort. [see Attachment 4]

Recruiting officers in New Student Relations need to be brought up to a more professional level in terms of their duties, performance and compensation. The position of recruiting officer in New Student Relations needs to be more of a career position than a stepping stone to something else. Elevating the stature, duties, compensation and work environment of these recruiters would allow Texas Tech to attract and retain qualified personnel who know how to do the job and have the commitment to perform consistently over time. As it is now, the average length of stay of a recruiter at Texas Tech is about two years (meaning, continuing and extensive training of new recruiters places a constant drag on the effectiveness of the office). Retention of recruiters is also important so that the same recruiters are covering the same ground

year after year; establishing and cultivating relationships with prospective students and their high school counselors is a key element in personalizing the recruiting effort.

Construction of a new Visitors Center should be initiated and completed as soon as possible – both to provide a suitable first-contact site for visitors to Texas Tech (including recruits) and to provide appropriate office space for New Student Relations. It makes sense to have the recruiters of Texas Tech stationed literally at the University's front door, so that when student prospects make their first physical contact with the campus in this manner, the recruiters are right there. Providing space in such a facility would also allow New Student Relations to work in a more professional and appropriate office environment.

Recruiters in the Office of New Student Relations need to be given the authority to make certain admission decisions. At a minimum, this should include the ability of adequately trained senior recruiters to grant admission "on the spot" to applicants whom the recruiter can verify as meeting the University's assured admission standards. This elevation of the responsibilities of recruiters would not only contribute to the professional stature of Texas Tech's recruiters, but would be a useful selling point with students being recruited.

Recruiting strategies should be formulated with the input of the Special Assistant to the Chancellor for Cultural Diversity. Texas Tech must be vigilant in its efforts to provide educational opportunities to a culturally diverse student population. Accordingly, the University's recruiting efforts must have a strong commitment to seeking out and aggressively recruiting minority students who have a reasonable chance at success at Texas Tech. The duties of the new Special Assistant for Cultural Diversity will include direct participation in the recruitment of such students, but the overall recruitment strategies developed for the University must address the needs in this area.

The University needs to broaden the field of those who actively participate in recruiting efforts. Specifically:

- The University, through its top administrators, must foster an institutional attitude that everyone must be ready to pitch in and respond rapidly and in force when the need arises.
- Regents, faculty, administrators, students and alumni need to be brought into the recruiting process more so that the full range of the University's resources are brought fully into play.
- Faculty needs to have more direct involvement in recruiting, and recruiting effort should become part of the annual evaluation of faculty members. Personal contacts (phone calls, personal visits and so forth) should be emphasized.
- Some of Texas Tech's higher achieving students should be incorporated into the process and be paid to help recruit prospective students – primarily through telephone contacts. (The Committee was told of and agrees with a saying of the College of Agricultural Sciences and Natural Resources: "Students recruit students; faculty recruit parents.")

The recruiting process at Texas Tech needs to have more tools available to the recruiters and other University personnel involved in the recruiting effort, including:

- The University should implement an early admission procedure whereby selected recruits are offered "early admission" – an arrangement where, in exchange for an offer of admission to the University that is extended early in the recruiting phase and is coupled with certain incentives, the student commits to enroll at the University and withdraw applications at other institutions. University administration should identify appropriate incentives to employ when early admission offers are extended.

- A system must be developed that ensures follow-up contacts are made on a regular basis with recruits who have been offered admission but have not yet enrolled at the University. Without regular and continuing contacts of this nature, the University is subject to losing recruits to other institutions who continue to make runs at the students. Academic departments and currently-enrolled students should be heavily involved in making these follow-up contacts that will hopefully maintain a prospective student's interest in and desire to attend Texas Tech.
- Students recruited by Texas Tech – those who do enroll at Texas Tech and those who chose to go elsewhere – must be surveyed to provide feedback to our recruiting system. Knowing what these students liked and didn't like about the information and contacts they received from Texas Tech – what works and doesn't work – will help the University continually hone its recruiting efforts. These recruits should also be asked about the contacts they had with other institutions in order to see what is working for Texas Tech's competition.
- In addition to numerous other reasons for upgrading the University's public relations and marketing initiatives, the published and online information made available to recruits and recruiters must be of high quality and effectiveness. More funding for this activity must be coupled with more of a focus on marketing and getting the word out about Texas Tech's success stories.

RETENTION INITIATIVES

The Committee believes that retention of students at Texas Tech is as important a priority as recruiting and scholarship offerings and must be given attention and resources accordingly.

All the great recruiting in the world will matter little if a significant number of students, once enrolled, do not succeed or are not satisfied with their experience at the University and decide to leave. One need look no further than the University's graduation rates to take the measure of where Texas Tech stands in this regard.

Statistics show that most students who enroll at Texas Tech but do not complete a degree at the University leave within a year to a year-and-a-half of enrollment. The key to better retention, then, is what the University does for students during their initial time at Texas Tech in the way of providing them with the tools and support needed by many to succeed and flourish.

One of the earliest opportunities to work with students who are beginning their academic careers at Texas Tech is new student orientation. Participation by new students in these three-day orientation sessions has risen significantly in recent years (primarily because these students are given the incentive of being allowed to register early for their Fall courses). ***The University should maintain a high percentage of new students who participate in new student orientation.***

The Committee also believes it is a high priority to re-structure and expand the Freshman Seminar (also known as Tech Transitions). This optional one-semester-credit-hour Fall semester course is taught by a core group of selected faculty dedicated to providing new students with guidance and the skills needed to make a successful transition to Texas Tech for both their academic endeavors and personal lives.

Tech Transitions should be re-structured as a mandatory program for all new students (including student-athletes, band members and others involved in University-sponsored activities) and be conducted over a five-day period immediately prior to the start of the Fall semester. Then, during the first month of classes in the Fall, weekly Tech Transition sessions should be held for these students, to be followed later in the semester by once-a-month "college days" in which the various colleges develop personalized, nurturing types of contacts with their new students. (Colleges often do not have highly personalized contact with their freshmen because it is not until later in a student's academic career that they begin taking more courses in their majors – if they are still at Texas Tech at that point).

It is important that Tech Transitions become an even more bonding type of activity immediately before and during a new student's first semester. Solidifying a new student's commitment to Texas Tech must be a focus early in the process, as experience has shown that if a student does not make a connection with someone or some group within the first six weeks of attendance, the chances are good that student will leave the University early in his or her academic career.

Certain university-related functions and activities would have to be coordinated with and adjusted to accommodate the mandatory, five-day program immediately prior to the start of the Fall semester. Examples include Greek rush and football and band practices. Tech Transitions activities during those days could be conducted in a manner that would leave adequate time for these other activities, but this re-structured format for Tech Transitions is of enough importance that all new students should attend.

The Committee has also concluded that the system for career counseling and academic advising at the college and school level needs to be overhauled and enhanced. Student survey ratings of the University are low in this regard, and with improvements in this area, students will not only have a higher level of satisfaction with the University but have a better chance of completing their degrees at Texas Tech (and in a more timely fashion as well).

The approach to academic advising – what courses to take in order to complete a degree plan – must be re-directed so that academic advising is the prime responsibility of those doing the advising. These advisors should be well-trained and knowledgeable staff or faculty within the individual colleges and schools. Some colleges and schools may be of sufficient size and resources as to be able to maintain professional staff counselors to provide these services, while some may find it more appropriate to have faculty members in that role. Whether staff or faculty performs academic advising, the guidance provided must be of a consistent and accurate quality.

Faculty members need to be a primary provider of career counseling. The amount of career planning support students receive can be a large factor in whether students get off to a good start academically and go on to achieve success in graduation from Texas Tech. Faculty members – the experts in their fields – are often best positioned to provide this counseling, especially to students who are early in their academic careers.

Whether the participation is in career counseling or academic advising, the annual evaluation of faculty should incorporate a measure of involvement with these activities.

The Committee also recommends that certain other initiatives be included in the University's expanded retention efforts, including:

➤ Texas Tech needs to foster an environment supportive of a more culturally diverse student body, faculty and staff. An increase in the number of minority students is a necessary and good first step, but once on campus, minority students must be made an integral part of university life and given the support necessary to achieve success in graduation.

- A “user friendly” attitude needs to permeate every aspect of university life (with the exception of academic performance standards). In dealings with the University’s administrative functions, housing and dining services, parking accommodations, and so forth, students must be provided with support in their efforts to achieve academic success and not be presented with an expanding series of obstacles they have to surmount in order attain their degree.
- An emphasis on Texas Tech’s culture and traditions needs to be elevated, so that all students have more of a sense of belonging and identity with the University.
- Each new student should be assigned an upper-division student and a faculty mentor who is available to provide personalized counseling and guidance.
- Freshmen men (and possibly freshmen women) should not be allowed to pledge a fraternity (or sorority) during their first semester at Texas Tech. Such a measure would give a number of students a better opportunity to focus on a successful start to their academic careers before becoming affiliated with a Greek organization.
- Students who do not re-enroll at the University should be surveyed to determine, to the extent possible, exactly why they decided to leave Texas Tech without completing their degree. Calculations done using a pool of Texas Tech incoming freshmen with SAT scores equivalent to a comparable incoming class at UT-Austin show that the graduation rate of the Texas Tech “pool” was higher than the University’s overall rate but still not as high at UT-Austin’s rate. In fact, equalizing SAT scores closes only about half of the gap in graduation rates between the Tech pool and UT-Austin. Other factors are obviously at work here, and even with implementation of the retention initiatives recommended herein, the University would still need to find out exactly what is going on in this regard.

AN ORGANIZATIONAL STRUCTURE THAT EMPHASIZES ENROLLMENT MANAGEMENT

The Committee recommends that Texas Tech give its admissions, recruiting and retention activities tighter coordination, a better focus and a higher priority through creation of an organizational structure in which admissions, recruiting, financial aid, new student orientation, the freshman seminar and other functions as appropriate report to a Vice President for Enrollment Management.

The primary activities related to attracting, admitting, enrolling and retaining students at Texas Tech should be administered separately from the other functions currently affiliated with Student Affairs – such as the office of the Dean of Students, recreational sports, housing and dining, the University Center, Student Organizations, the Student Association, Student Publications. [see Attachment 5 for the current organizational chart for Student Affairs]

These other student service functions should remain under a Vice President for Student Affairs, while the functions designed to attract, enroll and retain a top academic quality student body would have better coordination, focus and standing within the overall university structure.

Placing the primary recruiting, enrollment and retention activities under a Vice President for Enrollment Management would give these functions a higher priority and better coordination. Enrollment Management, thus, should encompass the following offices:

- Admissions and Records
- New Student Relations (i.e., recruiting)
- Financial Aid
- new student orientation
- Tech Transitions (i.e., Freshman Seminar)
- University Transition Advisement Center
- the University Counseling Center
- and possibly Programs for Academic Support Services (PASS)

The University should proceed immediately with this re-alignment, even if the position of Vice President for Enrollment Management must be filled on an interim basis.

Implementation of the Committee's recommendations which are endorsed by the Board of Regents should commence as soon as possible and should not wait for selection of a permanent candidate for the Vice President position if such a selection cannot be completed in a very short time frame.

The Committee also recommends that the President and Vice President for Enrollment Management, in consultation with the Office of the Chancellor, study and present to the Board of Regents a plan for a pilot program for block tuition at the University. Block tuition is a system whereby students pay a fixed amount of tuition regardless of the number of semester credit hours in which they enroll (i.e., a student enrolled for 18 hours would pay the same amount of tuition as one enrolled for nine hours). An incentive to graduate in a shorter time has been attributed to a block tuition structure, and the Board should consider whether to request that the next Texas Legislature authorize a pilot program at Texas Tech.

The Committee also recommends that the President and Vice President for Enrollment Management, in consultation with the Office of the Chancellor, be charged with developing a process whereby progress in achieving the goals outlined in the Committee's report and endorsed by the Board of Regents may be measured and reported to the Board.

CONCLUSION

Over the next five years, there will be an expanding pool of potential recruits from which Texas Tech can attract quality academic students, due primarily to: (1) enrollment caps that are in effect for UT-Austin and Texas A&M¹; and (2) by the year 2002, the number of high school graduates in Texas will have increased by nearly 33,000 students since May 1996.

The Committee's recommendations relating to expanded scholarship incentives, more aggressive recruiting efforts, and enhanced retention initiatives should at least offset other recommendations that may have the effect of reducing enrollment at the University.

The Committee believes that maintaining current levels of enrollment (and later, growth in enrollment) and the recommendations of the Committee, taken as a whole, are not mutually exclusive. Even if the University's total enrollment were to decline slightly during the implementation period of the Committee's recommendations, the Committee believes whatever revenue reductions may result would be manageable and well worth the long-term benefits that would accrue.

¹ The 70th Legislature gave the Texas Higher Education Coordinating Board the authority to set a maximum enrollment limit for a public higher education institution after consulting with the institution's governing board and providing for a public hearing. At a hearing in 1991, UT-Austin presented its plan to reduce enrollment to 48,000, with Texas A&M setting its enrollment target at no more than 41,000. For Fall 1996, total enrollment at UT-Austin was 48,008 and for Texas A&M, it was 41,892. Recent Coordinating Board forecasts of enrollment by institution reflect enrollments of 48,000 for UT-Austin and 39,000 for Texas A&M through the year 2010.

ATTACHMENT 1

First-Time Freshman Admission to Texas Tech University

To gain admission for the first time in Texas Tech University, an applicant must:

- Be a high school graduate, providing a transcript with acceptable credits for high school subjects.
- File an application to Texas Tech University and pay a processing fee of \$25.
- Have acceptable scores on either the Scholastic Aptitude (SAT) or the American College Test (ACT). High school graduates who have been out of high school for more than five years are not required to provide test scores.

The following high school subjects and credits (in units) are required for admission to the University:

<u>High School Subjects</u>	<u>Units Required</u>
English	4
Mathematics *	3
Social Science	2-1/2
Laboratory Science **	2
Foreign Language +	2
Electives	3-1/2

* The Colleges of Architecture and Engineering require geometry, trigonometry, and algebra II; the College of Business Administration requires algebra II.

** The College of Architecture requires chemistry or physics; the College of Engineering requires chemistry and physics.

+ Unless two units of credit in a single foreign language have been received in high school, at least two semesters of a single foreign language must be taken at the college level.

ASSURED ADMISSION. Students who graduate from an accredited high school with required course work will be assured admission if they present the combination rank in class and minimum test scores indicated below. The University will admit all students who hold scholarships awarded by an official Texas Tech scholarship committee.

<u>High School Class Rank</u>	<u>Minimum scores for assured admission</u>	
	<u>ACT</u>	<u>SAT</u>
Top 10% *	22	1010
1st Quarter	25	1140
2nd Quarter	28	1230
Lower Half	29	1270

* All students in the top 10% of high school class will be automatically reviewed.

[Attachment 1, continued]

ADMISSION REVIEW. Applicants who do not meet the assured admission criteria will have their records reviewed. Those whose backgrounds suggest probability of success will be admitted. Some applicants may be asked to provide additional information about high school course work, honors or advanced placement, extracurricular activities in high school, leadership experiences, proposed field of study and civic or other service activity.

PROVISIONAL PROGRAM.

Applicants who are not admitted through the above procedures may apply for the provisional program. Provisionally admitted students must pass 6 semester hours of college work with a grade-point average of 2.00 or higher prior to their initial fall enrollment. One course (3 hours) must be taken in either mathematics, English, or a laboratory science. One other course must meet General Education Requirements. For example: history, political science, foreign language, psychology or sociology. Remedial or developmental courses may not be used to satisfy the 6 hour requirement.

Provisional program students must follow advising and counseling procedures as prescribed by their academic dean during their first term at Texas Tech. NOTE: The 6 hours required in this program prior to a fall enrollment may be taken at another college or university. However, students must meet transfer requirements if they have attended another college or university.

ATTACHMENT 2

“NEW FRESHMEN FROM HIGH SCHOOL” TEXAS TECH UNIVERSITY – 1996-97 ACADEMIC YEAR

SAT Range	Top 10%	2 nd 15%	2 nd Quarter	2 nd Half	Unknown	TOTAL
1500's	3	3		1		7
1400's	27	4	1	2		34
1300's	89	43	17	5 ①	3	157
1200's	149	83	73	36		341
1100's	236	249	217	98	3	803
1000's	① 210	338	352	135	1	1036
900's	88	283	423	-----122-----	2	918
800's	41	72	② ---177---	77	1	368
700's	6	22	43	29		100
600's	1	2	15	12		30
500's				1		1
400's		1	1	1		3
No score	15	7	38	68	81	209
TOTAL	865	1107	1357	587	91	4007

Notes:

- ① Above the line – assured admission; below the line – review admission. See Attachment 1 for specific breakpoints for each category of high school class rank.
- ② Applicants potentially affected by the proposed increase in admission review standards (page 4 of report).
- Includes SAT scores received after admission.
- All ACT scores and SAT scores from tests taken prior to 4/95 have been converted to “re-centered” SAT scores.

ATTACHMENT 3

Number of Applications, Admissions and New Enrolled Students by SAT Score Texas Tech University – Fall 1996

SAT	App's	Admit	Enroll	SAT	App's	Admit	Enroll	SAT	App's	Admit	Enroll
1600				1190	96	92	40	790	44	24	12
1590				1180	81	74	39	780	28	17	10
1580				1170	98	92	51	770	19	11	9
1570				1160	110	104	53	760	19	9	6
1560				1150	112	106	49	750	16	7	3
1550				1140	144	134	69	740	15	10	6
1540				1130	132	129	66	730	23	11	7
1530	1	1	1	1120	146	138	74	720	15	6	1
1520	1	1		1110	162	153	79	710	12	3	3
1510				1100	135	130	70	700	4	3	3
1500	3	3	3	1090	162	150	84	690	4	2	2
1490	4	2	2	1080	177	163	72	680	13	5	4
1480				1070	176	162	82	670	8	4	1
1470	2	2	1	1060	171	155	79	660	4	1	1
1460	2	2		1050	176	159	82	650	4	1	
1450	2	2	1	1040	201	179	101	640	3	2	1
1440	4	4	2	1030	191	166	94	630	3		
1430	5	4	1	1020	183	163	90	620	6	2	2
1420	11	10	5	1010	183	149	78	610	4		
1410	8	7	4	1000	183	159	87	600	2		
1400	15	14	7	990	180	158	91	590			
1390	10	10	4	980	163	133	84	580	3	2	1
1380	16	14	8	970	169	151	84	570	1		
1370	17	17	6	960	153	127	70	560	2	1	
1360	19	16	7	950	148	124	68	550			
1350	22	22	10	940	140	114	66	540	3	1	3*
1340	32	31	16	930	135	109	68	530	1		
1330	31	29	14	920	160	120	73	520	1		
1320	33	31	15	910	117	76	58	510			
1310	27	27	14	900	86	55	42	500	1	1	
1300	26	23	11	890	107	72	33	490	1		
1290	28	26	11	880	83	48	27	480			
1280	33	32	13	870	83	50	32	470			
1270	60	55	29	860	84	54	30	460			
1260	36	34	21	850	54	32	24	450			
1250	50	48	25	840	62	34	29	440			
1240	66	62	34	830	44	22	11	430			
1230	67	62	30	820	42	18	15	420			
1220	74	71	26	810	42	20	14	410			
1210	87	87	45	800	34	14	11	400			
1200	69	63	36								

* SAT for enrolled students
posted after admission

ATTACHMENT 4

Student Recruitment Budgets in the Big 12

During a recent telephone survey of Big 12 universities, Texas Tech's Institutional Research requested information on each institution's budget for student recruitment for the 1996-97 academic year.

The survey results for those who have been willing to report recruitment budget information to us to-date are shown below, along with comparative data relating to the overall budgets of these institutions.

[Note: Schools that have not yet provided information have indicated that they intend to do so. This table will be updated as new information becomes available.]

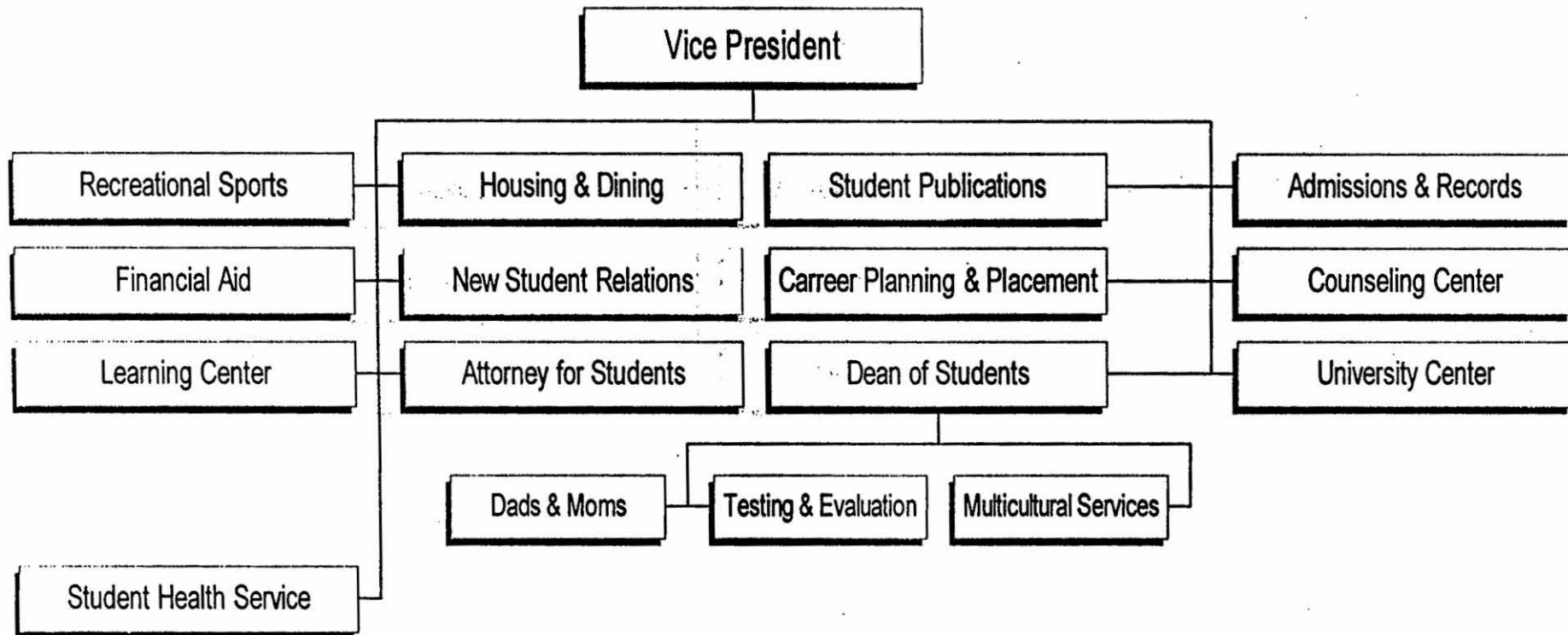
<u>University</u>	<u>Student Recruitment Budget '96-97</u>	<u>Current Funds Revenue (FY 1996)</u>	
		<u>Total</u>	<u>Per Student</u>
Nebraska	\$1,555,711	\$438.3 mil	\$18,350
Baylor	\$1,449,156	\$170.9 mil	\$13,794
TEXAS TECH	\$ 963,156¹	\$295.0 mil	\$11,935
Kansas	\$ 910,340	n.a.	n.a.
Oklahoma State	\$ 770,000	n.a.	n.a.
Iowa State	†	\$584.2 mil	\$23,462
Colorado	?	\$572.4 mil	\$23,246
Texas A&M	?	\$880.4 mil	\$21,016
Texas	?	\$940.6 mil	\$19,592
Kansas State	?	\$298.7 mil	\$15,275
Oklahoma	?	\$300.7 mil	\$15,045
Missouri	†	n.a.	n.a.

† no breakdown available in their budget

¹ Total budget for New Student Relations at Texas Tech for FY1997.

ATTACHMENT 5

Texas Tech University
Student Affairs



05/29/1997

Campus Beautification Project Report

August 22, 1997

The committee recently met (August 12) and considered the following items:

- I. Irrigation Report :With the development of a Master Landscape Plan well on its way, work is continuing on adapting the irrigation study to the Campus Master Plan model. It is important that careful thought be given to the type of irrigation needed. Source or end water treatment may only be needed in specialized areas rather than campus wide. The existing quality of water should be acceptable for the Bermuda grass, trees and low maintenance shrubbery. Water quality and quantity only become an issue when color beds are desired or with the addition of fountains or other water features. The Master Landscape Plan will include the irrigation cost and maintenance, and this plan will be submitted when the Campus Master Plan is considered in November.
- II. Identify Project Areas. New project areas are to be coordinated with the Office of the Landscape Architect's on-going projects. Also, on campus constituencies interested in the activities of the Beautification Effort are to be recognized.
- III. Campus Care Givers: This committee adopted this name after careful consideration and discussion. The definition of care givers being persons responsible for or attending to the safety, well-being, or maintenance of someone, or in our case, something (our campus) is synonymous with our mission.
- IV. Intern: The committee has an intern assigned to Campus Care Givers under the direction of the Chancellor's Office. Research and project development are the tasks undertaken to date.
- V. Initiatives Underway:
 - A. Recent meeting with Tx. Dept. of Transportation, with the 19th Street sidewalk project to be worked up and discussed with them.
 - B. Work to develop "funding opportunities" for specific projects within the Master Landscape Plan. The solicitation of funds from foundations, corporations and individuals will be coordinated through the Development Office.

- C. Suggestions/Ideas from each of the Deans
- D. Student Representative to investigate ways to get the students involved through a campus organization or service projects
- E. Landscape Architect students may be given a landscape or pedestrian area site to develop for class assignment. Funding for the materials will be solicited from foundations or corporations. Our goal is to get our students more involved and to develop a sense of pride in the campus.
- F. Marketing students are being asked to develop a "marketing strategy" for Campus Care Givers. Details of our mission and goals will be considered in the development of this plan. This new program allows students to work closely with the committee to create a usable plan to inform our students, alumni and community.
- G. Work closely with the Health Sciences Center to bring their needs and ideas into the Master Landscape Plan.
- H. Develop a "Case Statement" to be included in the Capital Campaign literature.

Scholarships for Texas Tech Employees and Dependents



Texas Tech University
Office of Financial Aid
P.O. Box 45011
Lubbock, Texas 79409-5011

For information contact:

Office of Financial Aid
Scholarship Division
Texas Tech
Box 45011
Lubbock, Texas 79409-5011
(806) 742-3144
or call the Financial Aid Office
on your campus

TEXAS TECH

Texas Tech Employee and Dependent Scholarships

Texas Tech University and Texas Tech Medical Center now offer scholarships specifically for employees and their dependents. Eligible dependents are defined as a child under the age of 24 in the calendar year in which the aid is received or as an employee's spouse.

Eligible Texas Tech employees include full-time faculty or staff as determined by the Office of Human Resources. Employees also may include any person who has retired as a full-time Texas Tech faculty or staff member. Eligible employees must have completed a minimum of four and one-half months of continuous employment.

Employee's Dependents Scholarship

A recipient must be eligible for regular admission to a Texas Tech institution and also must be a dependent of a full-time employee as defined above. The recipient also must be a full-time student maintaining a 2.5 cumulative GPA.

Recipients may receive the award for a total of eight semesters and no more than four at the graduate level. However, graduate level scholarships are considered a reimbursement and cannot be applied to tuition or account fees.

If recipients can no longer meet the definition of dependent, they will be removed from

scholarship eligibility at the beginning of the next enrollment period.

The scholarships may be used toward attendance at any Texas Tech campus and award amounts will be determined annually based on the number of recipients and the income earned by the fund.

Full-time Texas Tech Employee Scholarship

Full-time Texas Tech employees are also eligible for scholarship assistance. Recipients must be full-time employees, as defined above, and must comply with current Texas Tech operating procedures regarding enrollment in classes. Individuals also must maintain a cumulative grade point average of at least 2.5.

Scholarship recipients may receive the award for the equivalent of eight undergraduate semesters and no more than four semesters at the graduate level. Individuals who no longer meet the definition of full-time employees will be removed from the scholarship pool at the beginning of the next enrollment period.

Employees may use the scholarship toward attendance at any Texas Tech campus including health sciences center regional campuses. The maximum scholarship award per employee per semester will be \$100.



Texas Tech University Texas Tech Medical Center Employee/Employee Dependent Scholarship

Applicant Name _____
Last Name First Name Middle Initial

Applicant's Soc. Sec. No. _____

Are you an ☐ Employee? ☐ Retired Employee?

☐ Employee's dependent? If dependent, Date of Birth _____ Age _____

If employee's dependent, enter the name and Social Security No. of the Texas Tech employee: _____

Last Name First Name Middle Initial

Employee's Soc. Sec. No. _____

I will be enrolled for _____ hours in the _____ term (Fall, Spring) 19____
A new application must be completed for each term of attendance.

I understand that benefits for graduate level courses are tax to the employee and are paid as a reimbursement and are credited to tuition and fee accounts and will not hold registration nor prevent enrollment cancellation for non-payment. Of payment arrangements should be made.

Signature of Employee Dependent _____

Signature of Employee _____

Do not write below this line

Verification

The above named employee is a full time employee of _____
Department Name

Employment Status _____ Benefits Eligible _____ FTE _____ % Hire Date _____

Certified by _____ Date _____
Print Name

Signature _____ Attach screen print of HRS screen

For TTU courses, return the completed form to the Scholarship Office, 305D West Hall, Mailstop 7000
For TTU-HSC courses, return the completed form to the HSC Financial Aid Office, 5B 310, HSC, Bul

Account Number _____ Award Amount _____

Chancellor John T. Montford
Board of Regents Meeting
August 22, 1997, Friday 10:30 a.m.

Chancellor's Quarterly Report to the Board A Look Back at the First Year

- I. On August 20, 1996, the Texas Tech Board of Regents elected me the first Chancellor of Texas Tech. One year later, I'd like to give you my overview of the first year.
- II. Whether all members of the Texas Tech family agree with all we have done this year, I think they would all agree that Texas Tech is a different place today. As Dr. Haragan pointed out in a committee report today, Texas Tech is getting significant positive attention around the state and around the nation.

From Washington, D.C. to New York to Austin, people are getting excited about Texas Tech. I do not take credit for that fact alone. Our outstanding Board, our Deputy Chancellor, Presidents, staff, faculty and students all merit congratulations for our successes.

A CAN DO attitude exists today throughout our campuses, and the excitement is contagious.

- III. These are the highlights of the last year I'd like for you to recall:
 - A. The naming of Don Haragan and David Smith as presidents of these institutions and the naming of Jim Crowson as Deputy Chancellor set the tone for the progress we have made this year.

1. The Proctor Ranch Matching Gift Program resulted in:
 - a. \$5 million for Chancellor's Endowed Graduate Fellowships;
 - b. The Chancellor's Council \$500, 000 gift for Honors Scholarships.
 2. The UMC \$10 million trust for endowed chairs in Medicine brought our total endowed chairs in medicine from 6 to 16, and we now have 22 endowed chairs!
- G. New federal initiatives will bring significant new research funding to Texas Tech and eventually allow us to become a Research I University as recognized by the Carnegie Foundation.
- H. Ron Kendall and his outstanding research program from Clemson will be in place at Texas Tech this fall as we hit the ground running at the Institute for Environmental and Human Health.
- I. The Center for the Study of the Vietnam Conflict gained international attention and brought new state funding to Texas Tech.
- J. The Libraries of Texas Tech became a member of the American Research Libraries Association in April. In an unprecedented short time span, we gained membership in this group of the most prestigious of all American libraries.

- K. We have completed plans for the Horizon Campaign, a venture which will result in \$300 million in new private funding for Texas Tech.
- L. The successful completion of the funding drive to build the United Spirit Arena began on August 27, when we received \$10 million from United Supermarkets. In the next two months, we raised our \$14 million, received Coordinating Board approval in October and broke ground in March.
- M. The successful completion of the 30-year drive to build the USDA Plant Stress and Water Conservation Laboratory on our campus was celebrated just two days ago when we broke ground for that \$13.4 million laboratory.
- N. In April, Governor George W. Bush appointed three new regents to our Board. They have each already made a strong, personal commitment to Texas Tech. They join a committed board of outstanding leaders who will enable Texas Tech to continue its push toward becoming the best flagship institution in the state.

IV. It has been a year to make you proud to be a Red Raider!

Last month, the Development office held a training session on the upcoming Horizon Campaign. During the last session of the two-day meeting we heard from

retired Lubbock attorney and former county judge
Gordon Treadaway.

This 90-year old treasure is the last living member of the first class to attend Texas Tech in 1925, our first year of classes. He led us through an emotional reminiscence of what Texas Tech has meant in his life.

When there was not one dry eye left in the audience, Mr. Treadaway said:

“My association with Texas Tech has been an almost spiritual one. I was blessed by Texas Tech then, and I am blessed now. Than you for going home with me to Texas Tech.”

As tears welled in my own eyes, I thought of how blessed we all are in our association with Texas Tech.

I thank the Board of Regents for giving me the opportunity to come home to Texas Tech. It has been a sensational first year.

But wait until you see what we do next year!

TEXAS TECH UNIVERSITY

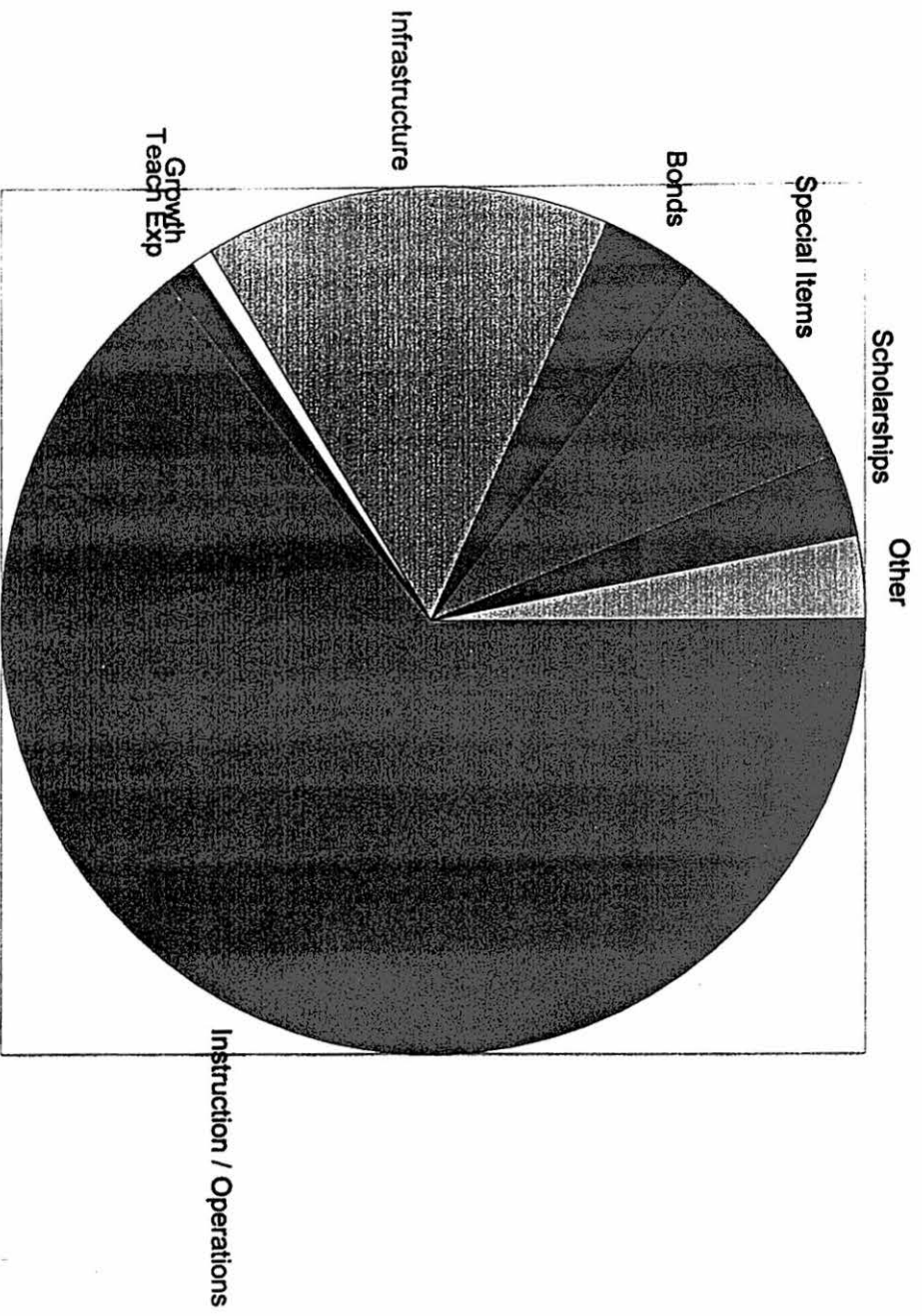
SUMMARY OPERATING BUDGET

FISCAL YEAR 1998

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FY 1998 Appropriation



TEXAS TECH UNIVERSITY

COMPARISON OF EDUCATIONAL AND GENERAL FUNDS

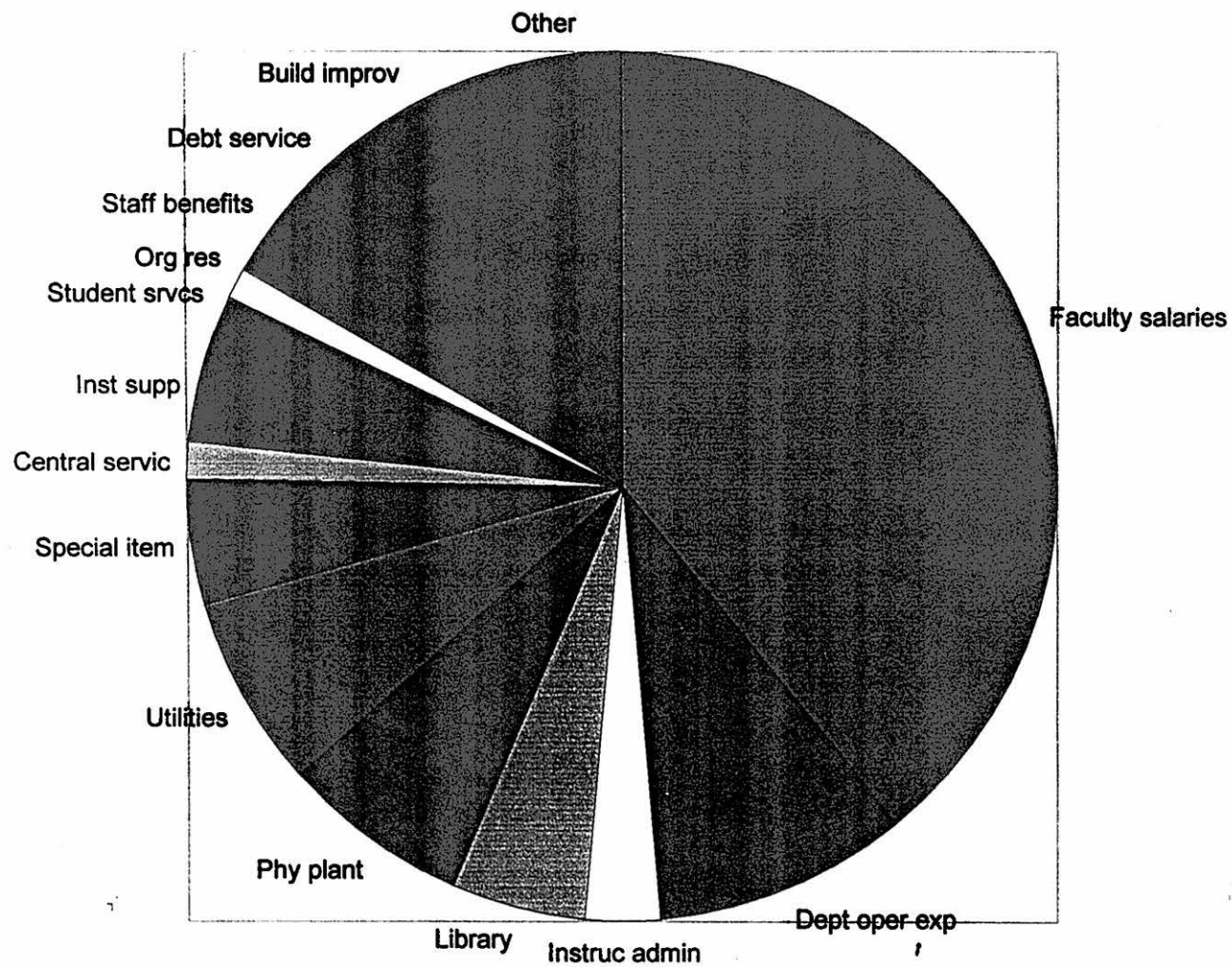
EXPENSE BUDGET

ITEM	FY 1997	FY 1998
CENTRAL SERVICES	\$1,772,711	\$2,260,181
INSTITUTIONAL SUPPORT	5,157,446	6,373,596
STUDENT SERVICES	2,005,503	2,135,642
STAFF BENEFITS	5,050,484	4,890,365
FACULTY SALARIES	54,685,113	59,899,149
DEPARTMENTAL OPERATING EXPENSE	12,532,455	14,563,106
INSTRUCTIONAL ADMINISTRATION	3,277,181	4,079,314
LIBRARY	7,395,787	7,941,265
PHYSICAL PLANT	8,766,784	10,434,658
UTILITIES	9,693,203	11,033,705
ORGANIZED RESEARCH SERVICES AND ENHANCEMENT	1,484,874	1,887,364
OTHER	4,810,574	6,893,991
SPECIAL ITEMS		
NEW	0	503,600
EXISTING	6,287,448	6,646,683
DEBT SERVICE	4,369,684	4,346,490
BUILDING IMPROVEMENT	7,704,479	7,704,479
SCHOLARSHIPS	1,411,952	1,511,461
TOTAL	\$136,405,678	\$153,105,049

PERCENT CHANGE

12.2%

FY 1998 Budget Exp



Board Minutes
August 22, 1997
Attachment M1, page 8
Item M134

TEXAS TECH UNIVERSITY
COMPARISON OF AUXILIARY FUND
INCOME BUDGET

ITEM	FY 1997	FY 1998
INTERCOLLEGIATE ATHLETICS	\$13,486,748	\$12,561,037
UNIVERSITY BOOKSTORE	432,220	392,220
UNIVERSITY CENTER	2,710,742	2,645,105
HIGH TECH - COMPUTER STORE	2,950,000	2,800,000
RESIDENCE HALLS	22,132,000	23,992,810
HOUSING & DINING - U.C. FOOD	1,500,000	1,800,000
OTHER:		
SALES AND SERVICE	2,701,175	2,755,563
INVESTMENT REVENUES	3,926,582	4,169,154
RESIDENCE HALLS - LONG DISTANCE	600,000	0
VARIOUS	1,475,950	1,653,998
SUB-TOTAL	\$8,703,707	\$8,578,715
TOTAL	\$51,915,417	\$52,769,887
PERCENT CHANGE		1.6%

TEXAS TECH UNIVERSITY
COMPARISON OF AUXILIARY FUNDS
EXPENSE BUDGET

ITEM	FY 1997	FY 1998
INTERCOLLEGIATE ATHLETICS	\$14,040,123	\$13,213,755
UNIVERSITY BOOKSTORE	310,425	392,220
UNIVERSITY CENTER	2,710,742	2,645,105
HIGH TECH - COMPUTER STORE	2,950,000	2,800,000
RESIDENCE HALLS	22,127,360	23,992,810
HOUSING AND DINING - U.C. FOOD	1,500,000	1,800,000
OTHER:		
RESIDENCE HALL - LONG DISTANCE	1,000,000	0
VARIOUS	7,499,365	8,590,039
TOTAL	\$52,138,015	\$53,433,929
PERCENT CHANGE		2.49%

TEXAS TECH UNIVERSITY

COMPARISON OF CURRENT RESTRICTED FUNDS

INCOME AND EXPENSE BUDGETS

ITEM	FY 1997	FY 1998
SOURCES OF FUNDS		
FEDERAL PROGRAMS	\$21,121,200	\$24,025,700
STATE PROGRAMS	1,924,900	1,933,100
PRIVATE (INCLUDES THE RESEARCH FOUNDATION)	14,289,728	15,053,600
ALL OTHERS	705,200	755,400
TOTAL FUNDS FROM ALL SOURCES	\$38,041,028	\$41,767,800
PERCENT CHANGE		
DISTRIBUTION BY COLLEGE OR AREA:		
AGRICULTURAL SCIENCES	\$4,199,800	\$4,211,600
ARTS AND SCIENCES	5,728,000	6,279,500
BUSINESS ADMINISTRATION	1,535,000	1,966,700
EDUCATION	1,295,700	1,299,600
ENGINEERING	7,415,500	9,380,900
ARCHITECTURE	37,200	53,200
GRADUATE SCHOOL	10,000	21,200
HUMAN SCIENCES	2,684,000	2,699,100
SCHOOL OF LAW	70,000	68,000
CONTINUING EDUCATION	708,900	700,000
INTERDISCIPLINARY STUDIES	230,000	230,900
MUSEUM	655,000	665,200
LIBRARIES	143,500	250,000
FEDERAL FINANCIAL AID	8,550,000	8,787,800
SCHOLARSHIPS AND FELLOWSHIPS	2,583,000	2,892,000
TEXTILE RESEARCH CENTER	810,000	810,000
ADMINISTRATIVE AND OTHER	1,385,428	1,452,100
TOTAL DISTRIBUTION TO ALL COLLEGES AND AREAS	\$38,041,028	\$41,767,800
PERCENT CHANGE		9.8%

TEXAS TECH UNIVERSITY
COMPARISON OF DESIGNATED FUNDS
INCOME BUDGET

<u>ITEM</u>	<u>FY 1997</u>	<u>FY 1998</u>
STUDENT FEES:		
STUDENT SERVICE FEES	\$4,983,476	\$5,322,335
STUDENT HEALTH SERVICES	2,304,350	2,362,134
COURSE FEE	2,107,891	2,203,675
GENERAL USE FEES	16,576,000	21,080,000
INFORMATION TECHNOLOGY FEES	3,268,482	4,024,416
OTHER FEES	5,206,057	5,372,822
ADDITIONAL REVENUES:		
INTEREST AND INVESTMENT INCOME	3,697,505	4,457,100
SALES AND SERVICES	22,288,117	26,740,526
OTHER	2,365,124	3,381,575
OTHER PROGRAM FEES	<u>5,097,182</u>	<u>6,126,273</u>
SUB-TOTAL	\$67,894,184	\$81,070,856
LESS: SALES TO OTHER DEPARTMENTS	(17,078,326)	(22,976,518)
TOTAL	\$50,815,858	\$58,094,338
PERCENT CHANGE		14.32%

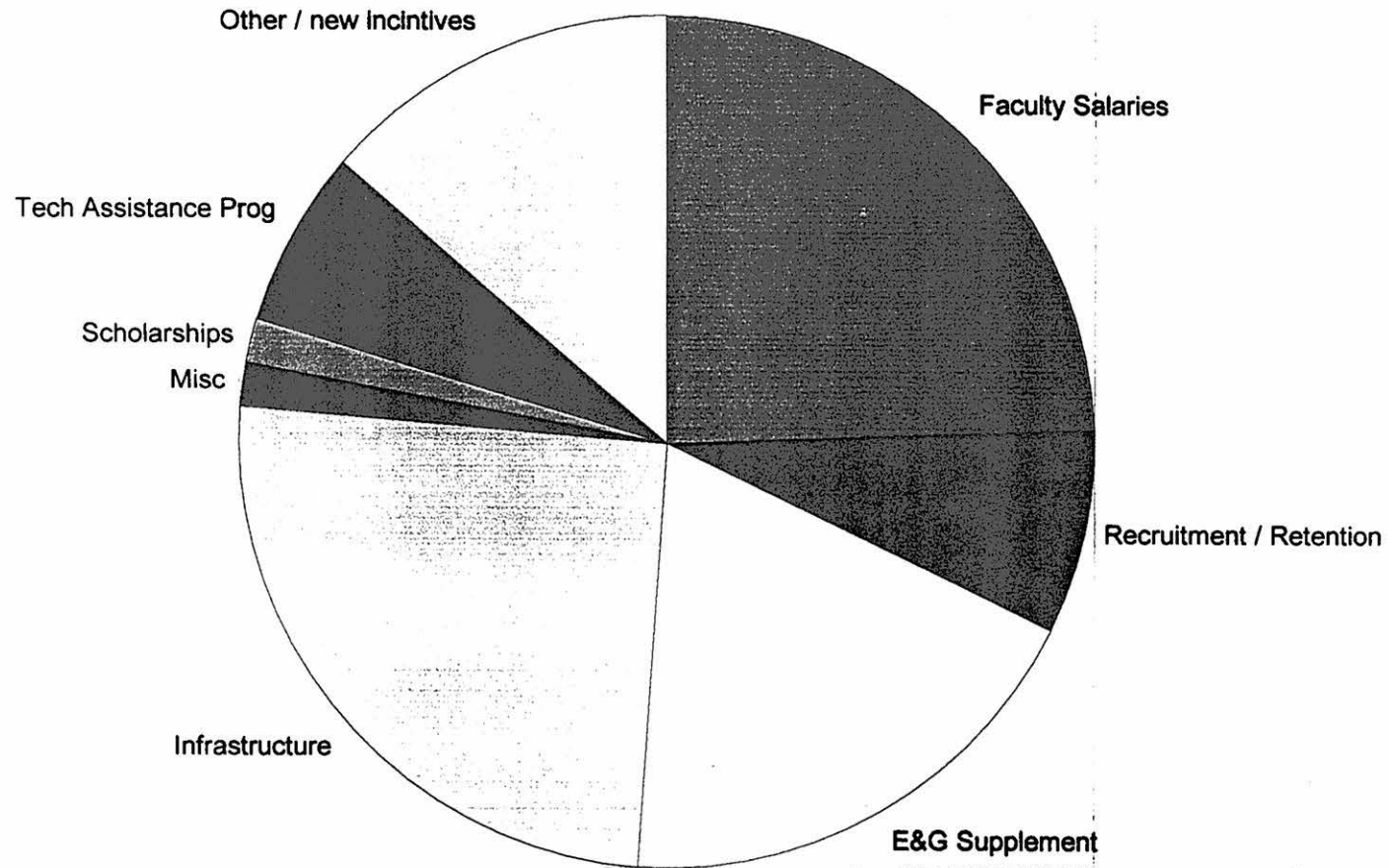
TEXAS TECH UNIVERSITY

COMPARISON OF DESIGNATED FUNDS

EXPENSE BUDGET

ITEM	FY 1997	FY 1998
STUDENT SERVICES ACTIVITIES	\$4,983,476	\$5,311,558
INFORMATION TECHNOLOGY FEE	3,468,482	2,566,655
COURSE FEE	2,107,891	2,203,675
SUB-TOTAL	\$10,559,849	\$10,081,888
INSTITUTIONAL SUPPORT		
GENERAL USE ACTIVITIES	16,576,000	21,080,000
COMMUNICATION SERVICES	4,826,575	7,181,016
CENTRAL HEATING & COOLING PLANT #1	7,255,154	9,073,901
CENTRAL HEATING & COOLING PLANT #2	3,447,984	3,852,855
ALL OTHER	5,159,664	8,988,375
SUB-TOTAL	\$37,265,377	\$50,176,147
INSTRUCTIONAL RESEARCH & PUBLIC SERVICE:		
CENTER FOR PROFESSIONAL DEVELOPMENT	\$1,377,573	\$1,378,225
ALL OTHER	9,301,982	10,560,132
SUB-TOTAL	\$10,679,555	\$11,938,357
OTHER SUPPORT:		
STUDENT HEALTH SERVICES	2,303,350	2,361,134
TEXAS PUBLIC EDUCATIONAL GRANTS	3,617,360	4,558,088
ALL OTHER	2,330,920	6,297,063
SUB-TOTAL	\$8,251,630	\$13,216,285
TOTAL	\$66,756,411	\$85,412,677
LESS: SALES TO OTHER DEPARTMENTS	(17,078,326)	(22,976,518)
TOTAL	\$49,678,085	\$62,436,159
PERCENT CHANGE		25.7%

FY 1998 "General Use Fee"



Board Minutes
August 22, 1997
Attachment M1, page 14
Item M134

TEXAS TECH UNIVERSITY

COMPARISON OF SERVICE DEPARTMENTS

ITEM	FY 1997	FY 1998
ACADEMIC AND ADMINISTRATIVE COMPUTING	\$5,652,561	\$7,693,846
PHYSICAL PLANT SERVICES	8,005,465	8,867,631
PRINTECH	1,428,595	1,459,517
ALL OTHER	2,535,176	1,628,747
TOTAL	\$17,621,797	\$19,649,741
PERCENT CHANGE		11.5%

TEXAS TECH UNIVERSITY

COMPARISON OF FUNDS FOR RETIREMENT OF INDEBTEDNESS

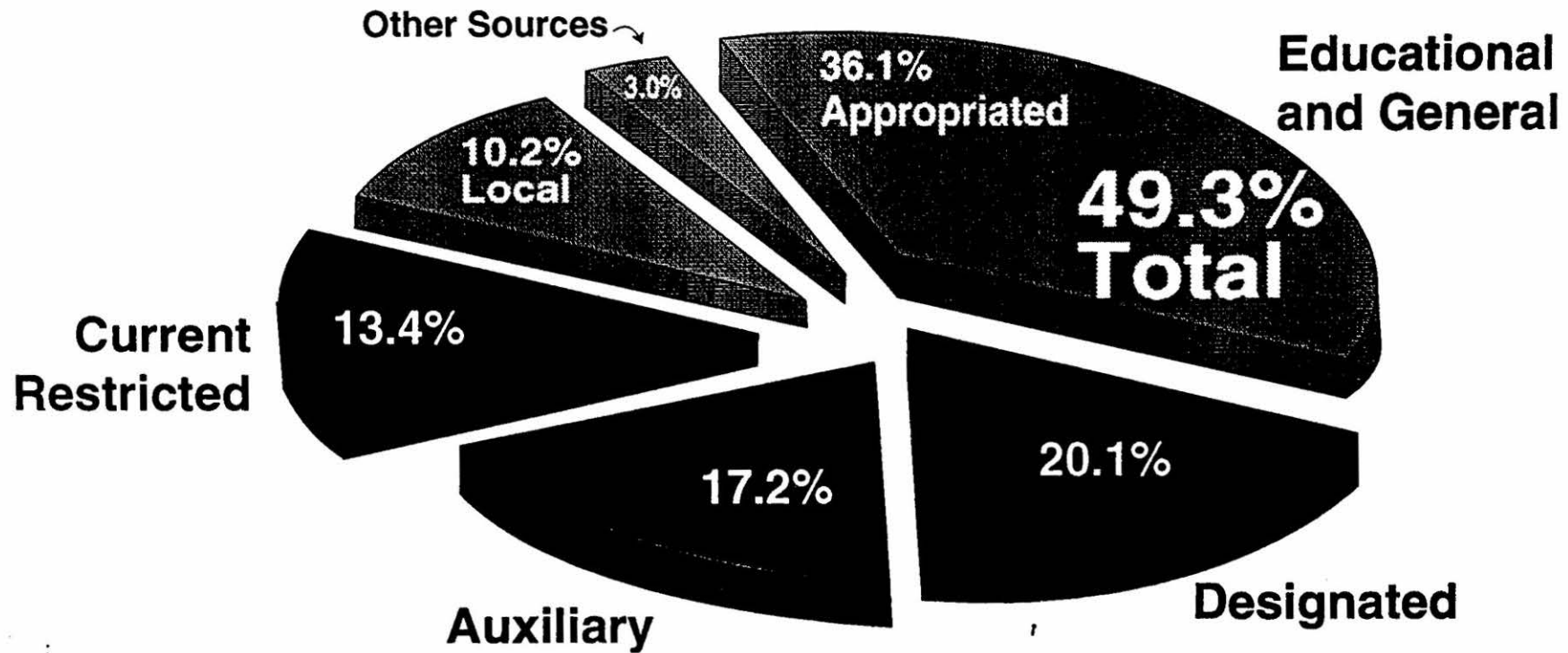
ADDITIONS AND DELETIONS BUDGET

ITEM	FY 1997	FY 1998
ADDITIONS:		
INTEREST AND INVESTMENT INCOME	\$153,668	\$4,000
FEDERAL GRANT	166,264	166,264
APPROPRIATION - HEAF	0	0
APPROPRIATION - GENERAL REVENUE	4,369,683	4,346,490
TRANSFERS FROM REVENUE FUNDS	5,889,225	11,190,410
TOTAL	\$10,578,840	\$15,707,164
PERCENT CHANGE		
DEBT SERVICE	\$10,578,824	\$15,707,161
PERCENT CHANGE		48.5%

FY 1998

SUMMARY OPERATING BUDGET

SOURCE OF FUNDS



TEXAS TECH UNIVERSITY
SUMMARY OPERATING BUDGET
FOR FISCAL YEAR 1998

FUND	PROJECTED 9/1/97 BALANCE	ESTIMATED INCOME	ESTIMATED EXPENSE	PROJECTED 8/31/98 BALANCE
EDUCATIONAL & GENERAL	\$7,771,975	\$150,368,239	\$153,105,049	\$5,035,165
AUXILIARY	9,991,951	52,769,887	53,433,929	9,327,909
CURRENT RESTRICTED	284,226	41,767,800	41,767,800	284,226
DESIGNATED	52,975,298	58,094,338	62,436,159	48,633,477
TOTAL	<u>\$71,023,450</u>	<u>\$303,000,264</u>	<u>\$310,742,937</u>	<u>\$63,280,777</u>
SERVICE DEPARTMENTS	\$1,057,402	\$19,649,741	\$19,649,741	\$1,057,402

Request to exceed FTE limitation
Texas Tech University

	FTE Increase	Source of Funds	Justification
Institutional Advancement	23.58	Institutional (Designated)	Funded from gift funds - to support external fund raising efforts
New Faculty	14.00	E&G	To provide additional terminal degreed faculty in undergraduate classes
Inst of Envir and Human Health	35.00	E&G	Funded from Faculty Salaries, Departmental Operating Expense and Indirect Cost Recovery - New Institute and program, approximately 10 faculty, 10 staff, and 30 graduate students
General E&G support staff	16.00	E&G	Support for various university departments
Grounds Maintenance	15.00	E&G	Support campus beautification improvement and effort with new groundskeepers
International Trade Center	6.00	E&G	New Special Item - revenue neutral
Ext Learn / Distance Ed.	10.00	Institutional (Designated)	Funded by Ext Learning / Dist Ed fees to users - instructors for new programs
Athletic Dept.	5.00	Institutional (Auxiliary)	Funded by Athletics - additional compliance and academic counselors / advisors
FY 1998 Budget - other	6.07	Institutional (Auxiliary)	Support for various university auxiliary departments
Administrative Support: Financial Aid, Bursar, and Purchasing	9.00	E&G	Additional support to improve student services in Financial Aid and Bursar's Office, additional support in Purchasing due to new legislative responsibilities
	139.65		

These requests reflect the prime areas of importance established by the Board of Regents as being of the highest priority for improvement in order to better serve the students, faculty, and staff of Texas Tech University. University personnel were reallocated to the extent possible. The additional FTE's are the minimal requisite to achieve the performance goals established by the Board of Regents of Texas Tech University.

ATTACHMENT

Board Minutes
August 22, 1997
Attachment M2, page 1
Item M138

**INVESTMENT POLICY STATEMENT
FOR THE STUDENT-MANAGED
INVESTMENT FUND (SMIF)**

**AREA OF FINANCE
COLLEGE OF BUSINESS ADMINISTRATION
TEXAS TECH UNIVERSITY**

Investment Policy Statement for the Student-Managed Investment Fund (SMIF)

I. Establishment of the Student-Managed Investment Fund and Sources of Funds

The Student-Managed Investment Fund (hereafter "SMIF") was established by the Board of Regents of Texas Tech University on May 9, 1997. Initial funds for management by the SMIF were made available by the Texas Tech Foundation, Inc., from endowments established by Mr. and Mrs. James Sowell through their donations of two Sowell Professorships, one each in the Area of Finance and the Area of ISQS in the College of Business Administration. At the time of its establishment, it was envisioned that funds managed by the Student-Managed Investment Fund may come from different sources, e.g., part of the University Endowment, funds donated for the specific purpose of managing the corpus, or funds made available from private or other sources. For this reason, and unless otherwise stated or required by the donor, provisions in this policy statement will be applicable to all monies managed by the SMIF.

II. Objective of the Student-Managed Investment Fund (SMIF)

The primary objective of the SMIF is educational. The SMIF is a vehicle to provide students with a real-world learning experience in the management of an investment fund. The management functions of the students will include both investment decisions and the administration of the operations of the SMIF. The students will make investment decisions concerning purchases, retentions, and sales of common and preferred stocks of corporations, corporate and government bonds, and, perhaps, other securities, depending on decisions of the SMIF Advisory Committee. At the same time, the SMIF seeks to achieve or exceed a "market" rate of return on its investments.

III. SMIF Advisory Committee

Policies and procedures for the operation of the SMIF will be governed by the Advisory Committee, which will be comprised of members of the Area of Finance faculty and selected individuals from the University and/or financial services community. Appointment to membership on the Advisory Committee will be made by recommendations from the Area of Finance Faculty, subject to approval by the Dean of the College of Business Administration. Terms of memberships on the Advisory Committee will be determined by the Committee. As part of the Advisory Committee, two members will be designated as the Investment Officers, who have the authority to approve trades of the SMIF. One of the two Investment Officers will be the current instructor of the SMIF course. In addition to these two officers, the Advisory Committee may choose to select a student, currently enrolled in the course, to also serve as an Investment Officer. Designation of the Investment Officers of the Advisory Committee, may change as conditions warrant. Furthermore, the Advisory Committee may, at its election, choose its officers and develop sub-committees for its work.

IV. Standard of Conduct

In the administration and management of the funds made available to the SMIF, the SMIF Advisory Committee, Class Coordinator and students enrolled in the SMIF class will exercise ordinary business care and prudence under the facts and circumstances prevailing at the time related to the actions taken and the decisions made. All persons involved will consider both the long-term and short-term needs of the source of funds, such as income requirements for payments to be made, their present and anticipated financial requirements, the expected return on the investments made, price limit trends and general economic conditions. A more complete description and discussion of the organization of the SMIF class is contained in the Policy and Procedures Manual for the SMIF course.

V. Investment Policy-Management Procedures

At the option of the SMIF Advisory Committee, all funds managed by the SMIF may be unitized or, if considered desirable, separate parts of the total funds available may be unitized, under proper circumstances. As an example, if the Advisory Committee considers it useful and desirable, one segment, earmarked for a special purpose, may be invested in the S&P 500 equivalent to serve as a benchmark. For each segment of the SMIF which if unitized, each new endowment gift added to the fund shall receive units in the fund based upon the market value of the gift and the unit value of the fund at the latest month end preceding the date of receipt of the gift. The unit value of the SMIF shall be determined at least monthly. Income determined under the SMIF's Spending Policy shall be calculated on a unit basis for distribution purposes.

VI. Financial Goal

The primary "financial goal" for management of funds made available to the SMIF is to provide sufficient total return on investments to meet the annual cash flow needs and to preserve the real (inflation adjusted) purchasing power of the principal and income after accounting for management expenses, inflation, risk, and cost of the investments. Performance of the funds against this objective is to be measured over rolling periods of five-year periods, encompassing several market cycles. The annual cash flow needs will be communicated to the SMIF at the beginning of each academic year.

VII. Investment Objectives

The primary "investment objective" for the SMIF is to earn, over the long-term, an average annual "real" total return, net of investment management costs, equal to or greater than the market return. This objective shall be measured over rolling 5-year periods. It is also an objective for the fund to match reasonable market benchmarks in which the assets are invested, measured over trailing five-year or complete market cycles, whichever is longer. Total return is defined as the sum of earned interest and dividends, realized and unrealized gains or losses, less all investment management costs divided by the applicable beginning value. Real total return is defined as the total return adjusted for inflation as measured by Consumer Price Index.

VIII. Spending Policy

The SMIF Advisory Committee recognizes the potential need for spendable income by the beneficiaries of the SMIF funds under their management. The following spending policy reflects an objective to distribute as much total return as is consistent with overall investment objectives defined herein while protecting the real value of the endowment principal. The following definitions are used:

- A. Total return is defined as the sum of total interest and dividends and realized and unrealized gains, less all investment management costs divided by the applicable beginning value.
- B. Net cash income is defined as the sum of total interest and dividends earned, less all investment management costs.
- C. Spendable income is defined as that portion of total return (less the net unrealized appreciation of endowment assets) allocated for spending as discussed below.

The distribution of spendable income may encompass expenditures required by the purpose of the funds (e.g., stipend for a Professorship), all costs of managing the funds, and ultimately to include scholarships when considered desirable by the SMIF Advisory Committee. Spendable income is defined as the total dollar return of the fund; however, the unrealized appreciation will be included for distribution only when the income from dividend, interest, and capital gains are insufficient to meet the fund requirements and must be approved in advance

by the SMIF Advisory Committee.

IX. Asset Allocation

To achieve the goal and objectives of the SMIF, the fund's assets may be invested into two broad categories: (1) an equity component and (2) a fixed-income component. The SMIF shall be diversified both by asset class and, within asset classes, by economic sector, industry and market capitalization (size). The purpose of diversification is to limit the specific risk associated with any single security or class of securities.

A. The equity component shall include readily marketable, domestic and international common stocks, if such international stocks are traded as an ADR. It may also include convertible and preferred stocks. Established equity mutual funds may also be considered in the equity component. The investment purpose for equity securities is to provide high real total rates of return and to provide both long-term capital appreciation and growth in current income that exceed the rate of inflation.

B. The fixed-income component shall include marketable domestic and international government/government agency and corporate obligations that meet or exceed a credit rating of "A" from Standard & Poor's and/or an "A" rating from Moody's, unless pooled in the form of a mutual fund for bonds. Under this condition, the Morningstar rating of three stars or better is required. The use of established bond mutual funds may also be considered. The investment purpose for fixed-income securities is to provide a hedge against deflation or stock market downturns and to provide diversification of endowment assets.

C. Individual Equity Security Allocation Guidelines

The SMIF shall be authorized to invest only in domestic and international equity securities listed on an established exchange. Not more than 5% of the equity stock of any one corporation may be owned by the SMIF. No more than 5% of the SMIF's equity component may be invested in any one equity security. No more than 25% of the SMIF's equity component may be invested in any one industry segment.

D. Individual Fixed-Income Security Allocation Guidelines

With the exception of obligations of the U.S. Government or its agencies, no purchase shall be made that will cause any one issuer's security to exceed 5% of the market value of the SMIF's fixed-income component. Money market instruments may be used in the fixed-income component. The SMIF is prohibited from speculating in interest rate futures or options. The fixed-income component may include investments in foreign bonds. No tax-exempt issues may be held in the fixed-income component.

E. Exclusions and Prohibited Activities

In addition to the limitations discussed above, the following activities are not authorized:

- Purchase of unregistered or restricted stock
- Investment in private placements
- Placement of short or long financial index futures, forwards and options positions
- Purchase of nondollar-denominated transactions, currency futures, options and forward transactions
- Selling securities short, buying securities on margin, borrowing money, hypothecating or pledging SMIF assets or buying or selling uncovered options, commodities or currencies

- Entering into any securities lending program or conditional sales contract
- Other limitation as may be provided by state law.

X. Communications and Reporting

The SMIF Advisory Committee is responsible for frequent and open communication with the Texas Tech Foundation, Inc. on all significant matters pertaining to the investment policies and the management of the SMIF's assets. These reporting responsibilities include:

1. Communication of major changes in the Committee's investment outlook, strategy and portfolio structure.
2. Communicating, on a quarterly basis, the performance of SMIF's portfolio performance.

The SMIF Advisory Committee shall, at the beginning of each fiscal year, present to the Foundation a report of the SMIF's investment activities for the preceding year together with a summary of the SMIF's portfolio performance, investment strategy and portfolio rebalancing strategies.

TEXAS TECH UNIVERSITY BUDGET ADJUSTMENTS

NO.	ACTIVITY	SOURCE OF FUNDS			REMARKS
		OTHER	INCOME	EXPENSE	
<u>BOARD APPROVAL:</u>					
LB02562	President's Scholarship Fund		\$400,000	\$400,000	Transfer from the Texas Tech Excellence Fund to support Scholarships for Honors and Outstanding/ Superior Students.
LM05253	Carpenter Wells		\$1,650,000	\$1,650,000	Residence Hall Project
	Capital Campaign Kickoff		\$250,000	\$250,000	Donations are anticipated in order to fund The Capital Campaign Kickoff.
	Purchase of Replacement Condenser		\$563,045	\$563,045	Emergency purchase of a 6,500 Ton / Hour Condenser
	Texas Tech Assistance Program		\$775,000	\$775,000	Funding for General Use Fee
	Texas Tech Assistance Program			\$475,000	Funding from General Use Fee Fund Balance
				\$260,000	To Student Service Fee
				\$85,000	To University Center Fee
				\$130,000	To Medical Service Fee
	Southwestern Bell Foundation Gift		\$5,000,000		
				\$2,500,000	Graduate assistantships - Proctor Match
				\$1,500,000	SBC Project - Systems Thinking
				\$1,000,000	Arena

TEXAS TECH UNIVERSITY BUDGET RATIFICATIONS - (March 3, 1997 - June 30, 1997)

NO.		ACTIVITY	SOURCE OF FUNDS			REMARKS
			OTHER	INCOME	EXPENSE	
<u>BOARD APPROVAL:</u>						
		Communication Services		\$200,000	\$200,000	Communication Services' revenue and expenses will increase during FY 1997 - Direct Purchases of NORSTAR Systems and additional vehicles
LB01741		Imaging - Phase II		\$218,000	\$218,000	Transfer funds from various fund groups (0904,0850, and 0528) to provide sufficient fund to purchase computer related equipment.
LB02228		University Center Food Services		\$200,000	\$200,000	The University Center Food Services section anticipates an increase in sales.

Executive Summary of Agreement

Agreement Participants:

Texas Tech University Health Sciences Center
Lubbock Regional Mental Health and Mental Retardation Center (Lubbock, TX)

Previous Agreement:

Item H88; May 10, 1996.

Statement of Major Points:

Texas Tech University Health Sciences Center and Lubbock Regional Mental Health & Mental Retardation Center have entered into, but not yet completed, negotiations for an agreement to restructure the current services in a more efficient system in which to provide adult and child psychiatric services. Under the new agreement, Texas Tech University Health Sciences Center will extend the psychiatric services by providing a mental retardation outpatient clinic, while continuing all adult and child mental health services for outpatients and inpatients. The adult and child outpatient services will be relocated to the Texas Tech University Health Sciences Center Department of Neuropsychiatry, where physician extenders will be utilized instead of physicians and residents. The current agreement provides \$1,429,696.00 per year and extends through August 31, 1999. The term of the new contract is expected to be September 1, 1997 through August 31, 1998 for an approximate amount of \$1,296,504.

Revisions/Changes from Previous Agreement:

Major changes or revisions from the previous agreement include:

- absorption of three licensed professional counselors from Lubbock Regional Mental Health & Mental Retardation Child Services;
- absorption of all operating expenses and clerical staff for these services;
- relocation of the adult and child outpatient services to Texas Tech University Health Sciences Center, Department of Neuropsychiatry;
- reduction of present medical staff by utilizing physician extenders; and
- decrease in the amount of the contract (due to the absorption of medical staffing and the relocation of the clinic).

Executive Summary of Agreement

Agreement Participants:

Texas Tech University Health Sciences Center
Baptist St. Anthony's Hospital Corporation (Amarillo, Texas)

Previous Agreement:

Item H40; February 9, 1996.

Statement of Major Points:

Texas Tech University Health Sciences Center (TTUHSC) Department of Family Medicine clinical and educational programs in Amarillo have been conducted at St. Anthony's Hospital for the past six years. St. Anthony's Hospital merged with High Plains Baptist Hospital and the resulting Baptist St. Anthony's Hospital Corporation (Hospital) desires to continue and strengthen this mutually beneficial relationship by entering into this new six-year agreement. The commitment to the longer term and the close proximity of the out-patient and in-patient services as provided in this agreement will facilitate full accreditation of the Family Practice Residency Program.

Under this new agreement, the Family Medicine Program would relocate from the St. Anthony's campus to new clinical facilities at the Baptist campus, which is located two blocks away from TTUHSC's Amarillo campus. The new facilities would be adjacent to the Hospital where currently TTUHSC provides in-patient services rather than six miles away at the St. Anthony's campus. This convenient location will serve our faculty, residents, students, and patients.

Currently, we have a sublease with the St. Anthony's campus that provides the Family Medicine program with space at no cost to TTUHSC. At such time when the new space is available, the parties will enter into a mutually acceptable lease with an in-kind rental rate validated by two independent real estate appraisals. Should it be necessary for the Hospital to terminate the lease for cause or should TTUHSC discontinue the Family Medicine program, TTUHSC will be responsible for lease payments for the remaining term of the sublease (if still effective), or the new lease (as the case may be).

Contingent upon approval of the six-year term, the Hospital will fund the \$1.8 million renovation project of 20,000 square feet of Hospital space to accommodate the clinical needs of the Department. This project is not included in the agreement. Additionally, the Hospital will be making a significant financial commitment to TTUHSC as follows:

<u>Funding</u>	<u>Base</u>	<u>Maximum</u>
Faculty	743,925	1,310,725
Recruiting	20,000	20,000
Operating Assistance (average/year)	53,333	53,333
Special Faculty Funding (average/year)	39,333	39,333
Resident Funding	604,492	903,599
In-kind Rent	320,000	400,000
Total Per Year	1,781,083	2,726,990
	x 6	x 6
	10,686,498	16,361,940

Revisions/Changes from Previous Agreement:

Changes from the previous agreement include:

- (a) Relocation of programs from St. Anthony's campus to the Baptist campus.
- (b) Increased funding. (The current two-year contract provides funding from a base of \$1,454,105 to a maximum of \$1,901,633. The new agreement will be from \$1,781,083 to \$2,726,990 as shown above.)

Executive Summary of Agreement

Participants of Agreement:

Texas Tech University Health Sciences Center
Medical Center Hospital (Odessa, Texas)

Previous Agreement:

Item H119; August 20, 1996.

Statement of Major Points:

Texas Tech University Health Sciences Center and Medical Center Hospital have entered into, but not yet completed, negotiations for the renewal agreement for resident services and faculty support. The current agreement provides \$4,954,587 for salary, fringe benefits, and malpractice insurance for the term October 1, 1996 and extending through September 30, 1997.

It is anticipated that the amount of funding will increase because of an increase in the number of residents and support for subspecialist faculty for the categorical pediatrics and internal medicine residency programs.

Revisions/Changes from Previous Agreement:

A copy of the agreement will be made available to the Board of Regents after the contract has been finalized.

Executive Summary of Agreement

Agreement Participants:

Texas Tech University Health Sciences Center
Methodist Children's Hospital (Lubbock, Texas)

Previous Agreement:

None.

Statement of Major Points:

Under this agreement TTUHSC will provide Methodist Children's Hospital professional coverage of pediatric surgery, including pediatric trauma coverage on a twenty-four (24) hours a day, seven (7) days a week basis. A TTUHSC physician will also act as Administrative Medical Director of Pediatric Surgery for the Hospital.

The term of this agreement is for one year beginning August 1, 1997 for the estimated annual amount of \$415,000.

Revisions/Changes from Previous Agreement:

None.

Executive Summary of Agreement

Participants of Agreement:

Texas Tech University Health Sciences Center
Lubbock County Hospital District, d/b/a University Medical Center (Lubbock, Texas)

Previous Agreement:

Original agreement executed May 14, 1982

Statement of Major Points:

University Medical Center and Texas Tech University Health Sciences Center currently function under a Master Coordinating Agreement which provides annual support for residents, faculty and staff, utilities, physical plant facilities, etc. Excluding physical plant facilities, the current agreement provides annual funding of approximately \$11.2 million.

Negotiations are underway to amend the agreement, but have not yet been completed. Upon execution of the final agreement, a copy will be provided to the Board of Regents Office.

Revisions/Changes from Previous Agreement:

Upon execution of the final agreement, a copy will be provided to the Board of Regents Office.

Executive Summary of Agreement

Participants of Agreement:

Texas Tech University Health Sciences Center
Midland County Hospital District (Midland, Texas)

Previous Agreement:

Item H120; August 20, 1996.

Statement of Major Points:

Texas Tech University Health Sciences Center and Midland County Hospital District have entered into, but not yet completed, negotiations for the renewal agreement for resident and faculty services. The current agreement provides \$978,268 for salary, fringe benefits, and malpractice insurance for the term October 1, 1996 through September 30, 1997.

It is anticipated that the amount of funding will increase because of an increase in the number of residents and support for subspecialist faculty for the categorical internal medicine program.

Revisions/Changes from Previous Agreement:

A copy of the agreement will be made available to the Board of Regents after the contract has been finalized.

Executive Summary of Agreement

Participants of Agreement:

Texas Tech University Health Sciences Center
Correctional Managed Health Care Advisory Committee (Huntsville, Texas)

Previous Agreement:

Item H114; August 11, 1995. To provide prison health care.
Item H14; November 3, 1995. Added mental health care to the prison health care agreement.

Statement of Major Points:

The term of this contract is September 1, 1997 through August 31, 1999. For fiscal year 1998, Texas Tech University Health Sciences Center will receive an estimated \$63,322,428 and for fiscal year 1999, an estimated \$65,572,428 for which Texas Tech University Health Sciences Center will provide medical and mental health care services to inmates in West Texas.

Revisions/Changes from Previous Agreement:

Major changes or revisions from the previous agreement include:

- a. Psychiatric services are now incorporated into this agreement.
- b. Provision of hospice services.
- c. Consolidated language relating to employee health care, specifying that such services will include employee health care services to the extent provided by state law and provisions of the General Appropriations Act, 75th Legislature.
- d. Additional definition and clarification of responsibilities for maintaining medical records.
- e. Clarification of provisions relating to fixed assets transferred under the previous agreement and establishment of a process to dispose of those fixed assets.
- f. Expanded performance and monitoring section to establish specific performance requirements relating to:
 - (1) NCCHC Accreditation
 - (2) Provider credentials
 - (3) Operational review process
 - (4) Access to care
 - (5) Quality improvement
- g. New requirements for staffing, staffing plans, and staffing performance requirements by hospitals.
- h. Procedures for TDCJ physician participation in the peer review process conducted by University providers.
- i. Formal roles in the monitoring process for joint committees were developed to address relevant issues and areas of TDCJ health care.
- j. Formalized the collection and reporting of data for the legislatively established performance measures for TDCJ health care.

Executive Summary of Agreement

Participants of Agreement:

Texas Tech University Health Sciences Center
R.E. Thomason General Hospital (El Paso, Texas)

Previous Agreement:

Item H84; May 10, 1996.

Statement of Major Points:

Texas Tech University Health Sciences Center and R.E. Thomason General Hospital have entered into, but not yet completed, negotiations for the renewal agreement for medical and administrative services. The current agreement provides \$3,580,810* for the term July 1, 1996 through June 30, 1997.

Revisions/Changes from Previous Agreement:

A copy of the agreement will be made available to the Board of Regents after the contract has been finalized.

* Secretary's Note: This amount was changed to \$3,100,000 during consideration at the Board meeting.

Executive Summary of Agreement

Agreement Participants:

Texas Tech University Health Sciences Center
R.E. Thomason General Hospital (El Paso, Texas)

Previous Agreement:

Item H84; May 10, 1996. Services were previously rendered as part of the Master Consolidated Agreement.

Statement of Major Points:

Texas Tech University Health Sciences Center previously provided pathology services to R.E. Thomason General Hospital through the Master Consolidated Agreement. R.E. Thomason General Hospital has requested these services be provided through a separate agreement.

Included in these services are operation of the Pathology and Clinical Laboratory, performance of autopsies, and provision of an Administrative Director of Pathology. For these services, R.E. Thomason General Hospital will provide funding in the estimated amount of \$593,000 for the term July 1, 1997 through June 30, 1998.

Revisions/Changes from Previous Agreement:

TTUHSC will be providing four pathologists rather than the five provided under the existing agreement.

Executive Summary of Agreement

Agreement Participants:

Texas Tech University Health Sciences Center
Texas Youth Commission (Huntsville, Texas)

Previous Agreement:

Item H114; August 11, 1995. To provide prison health care to TDCJ and TYC.

Statement of Major Points:

The term of this contract is September 1, 1997 through August 31, 1999. For fiscal year 1998, TTUHSC will receive an estimated \$1,700,000 and for fiscal year 1999, an estimated \$2,000,000 for which TTUHSC will provide medical and mental health care services to the clients of TYC.

Revisions/Changes from Previous Agreement:

The terms and conditions of this agreement are currently being negotiated between the parties. While some minor changes are anticipated, the basic services provided are expected to be substantially the same as those provided under the existing agreement. A copy of the agreement will be made available to the Board of Regents after the contract has been finalized.

Executive Summary of Agreement

Participants of Agreement:

Texas Tech University Health Sciences Center
Life Management Center (El Paso, Texas)

Statement of Major Points:

Texas Tech University Health Sciences Center and Life Management Center have entered into an existing contract to provide psychiatric services for El Paso Psychiatric Center. The current agreement provides \$343,000 for the six month period ending August 31, 1997. The proposed agreement will include a full fiscal year in the estimated amount of \$686,000.

Revisions/Changes from Previous Agreement:

It is expected that the agreement will mirror the current six month agreement with no known changes.

Attachment

**Texas Tech University Health Sciences Center
School of Medicine**

Faculty Grievance Policy

A. Policy Overview

It is the policy of TTUHSC School of Medicine to protect the rights of the University and faculty and encourage fair, efficient and equitable solutions for problems arising out of the employment relationship.

The purpose of this policy is to provide a method to address unresolved grievances of faculty and to provide a mechanism for their resolution and closure when possible.

Faculty members may seek resolution of grievances not covered under the TTUHSC Tenure and Promotion Policy, the Medical Practice Income Plan Bylaws through the mechanism described below.

No person shall be penalized, disciplined, or prejudiced for filing a grievance or aiding another faculty member in filing a grievance, but those involved will be expected to meet normal responsibilities while pursuing a grievance.

B. Grievance Process and Procedures

An ad hoc Grievance Hearing Committee composed of fourteen senior faculty (associate professor or professor) shall be notified of their appointment for one year terms by the Chairperson of the Faculty Council Executive Committee upon assuming office. Half of the representation, four from Lubbock and one from each of the other campuses (Amarillo, El Paso and Odessa) shall be selected by the Dean and the other half (four from Lubbock and one each from Amarillo, El Paso and Odessa) shall be selected by the Chairperson of the Executive Committee with approval of the Executive Committee. The Grievance Committee shall be responsible for nominating members of mediation teams and shall serve as a pool of faculty members from which Hearing Panels can be selected.

A faculty member having a problem first shall discuss the problem with the immediate superior. If the problem is not resolved, the faculty member may present the problem as a grievance in accordance with the procedures below.

1. The faculty member shall present the grievance in writing to the immediate superior after receiving a response from discussion with the immediate superior. The written grievance must detail the facts and the remedy sought by the faculty member. Once the grievance has been presented in writing, it cannot be changed except with the written approval of all parties. The immediate superior shall respond in writing to the faculty member within 5 working days of receiving the written grievance.
2. If not resolved, this process shall be repeated at each appropriate departmental supervisory level up to and including the Chairperson.

Attachment

4. If the faculty member believes a procedural violation has occurred, he/she may appeal to the ~~President~~Executive Vice President/Provost of the TTUHSC. The appeal must be made within 5 working days of receiving the Dean's decision, be in writing and describe clearly the procedural violation.

The ~~President~~Executive Vice President/Provost shall review the complete written record of the grievance and make a decision. The parties and the Dean will be notified in writing of the ~~President's~~Executive Vice President/Provost's decision within 5 working days of the ~~President~~Executive Vice President/Provost receiving the appeal. Decision of the ~~President~~Executive Vice President/Provost is final.

The periods of time stipulated in this policy shall be considered maximum. A speedy resolution is encouraged. Variations from this policy and time periods stated herein may be requested by either party upon petition to the ~~President~~Executive Vice President/Provost, whose decision will be final in these matters. A copy of the written record shall be available to both parties and the complete record of the grievance shall be kept in the appropriate Dean's office.

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER

*Fiscal Year 1998
Operating Budget Summary*

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DEFINITION OF FUNDS

EDUCATIONAL AND GENERAL FUNDS (E & G)

Educational and general funds are comprised of tax (General Revenue) funds in the state treasury and funds collected locally (Local E & G) by the Health Sciences Center from students and other sources for specific purposes. An example of Local E & G is tuition and student fees collected for educational purposes. General revenue is appropriated to the Health Sciences Center by the State Legislature for each year of the biennium.

DESIGNATED FUNDS

Designated funds represent resources internally allocated by the Board of Regents and budgeted for purposes so designated by the Board. These funds provide support for current operations and compliment state appropriations in fulfilling the educational missions of the institution. The clinics operated by the Health Sciences Center are examples of designated funds.

CURRENT RESTRICTED FUNDS

Current restricted funds include all government, public, state and private grants, contracts, and cooperative agreements for the furnishing of goods and services of an instructional, research, or public service nature. These funds are restricted to the stipulations agreed upon when made available to the Health Sciences Center. An example of current restricted funds is resident support agreements with the teaching hospitals at each campus.

AUXILIARY FUNDS

An auxiliary enterprise is an entity that exists predominantly to furnish goods or services to students, faculty, or staff, and charges a fee directly related to, although not necessarily equal to, the cost of goods and services. An example of an auxiliary enterprise for the Health Sciences Center is the Traffic and Parking operation.

SERVICE DEPARTMENT FUNDS

Service departments are activities which are operated primarily to provide services to other departments and which operate as revolving funds to cover their costs. Printing and copying services are examples of service departments.

**TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
EDUCATIONAL AND GENERAL FUNDS
BUDGET SUMMARY**

Board Minutes
August 22, 1997
Attachment H13, page 4
Item H130

	FY 1997	FY 1998	% CHANGE
SOURCES OF FUNDS			
GENERAL REVENUE			
House Bill 1	\$ 57,634,813	\$ 65,017,744	
Higher Education Assistance Funds (HEAF)	7,735,000	7,735,000	
Section 153 1.26% Reduction	(727,119)		
Retirement Transfer from TTU	664,875		
Benefit Replacement Pay Increase	1,036,900		
Non-Faculty Salary Increase		1,008,000	
TOTAL GENERAL REVENUE	66,344,469	73,760,744	11.18%
LOCAL EDUCATIONAL AND GENERAL INCOME			
Tuition and Fees	4,030,000	4,456,917	
Sales and Service	422,000	432,557	
Indirect Cost Recovery	800,000	900,000	
Interest Earnings	400,000	700,000	
Miscellaneous Income	18,000	15,000	
Less: OASI	(270,000)	(260,000)	
TOTAL LOCAL EDUCATIONAL AND GENERAL INCOME	5,400,000	6,244,474	15.64%
OTHER SOURCES			
Reappropriations			
Odessa Medical Education and Health Clinic	1,758,590		
Midland Surgical Residency	135,765		
Advanced Technology / Advanced Research Program	456,307	219,012	
Total Reappropriations	2,350,662	219,012	
Salary Lapses	145,596	200,875	
Transfer from General Use Fee		173,297	
Use of Fund Balance		525,000	
TOTAL OTHER SOURCES	2,496,258	1,118,184	
TOTAL SOURCES OF FUNDS	\$ 74,240,727	\$ 81,123,402	9.27%

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
EDUCATIONAL AND GENERAL FUNDS
BUDGET SUMMARY

Board Minutes
August 22, 1997
Attachment H13, page 5
Item H130

	FY 1997	FY 1998	% CHANGE
ESTIMATED EXPENDITURES			
Central Services	1,849,897	2,091,306	
Institutional Support	4,478,036	5,954,329	
Student Services	321,099	339,699	
Staff Benefits	1,205,875	1,455,000	
Library	1,574,131	1,664,466	
Research Enhancement	83,517	86,555	
Continuing Education	15,149	19,431	
Physical Plant	4,317,012	5,699,549	
Utilities	5,656,125	5,746,049	
School of Medicine			
Lubbock			
Medical Education - Basic Sciences	4,620,913	5,018,659	
Medical Education - Clinical	9,781,927	10,022,176	
Organized Activities	1,203,503	1,271,359	
Border Health Academic Expansion	803,472	924,710	
Family and Community Medicine Residency Program		617,844	
Amarillo			
Medical Education	2,941,224	3,022,984	
Organized Activities	590,452	626,200	
Odessa			
Medical Education	1,384,115	1,420,095	
Organized Activities	145,768	154,897	
Midland Surgical Residency Program	135,765	134,141	
Midland Cardiology Residency Program		230,000	
El Paso			
Medical Education	4,979,644	5,124,217	
Organized Activities	1,044,633	1,114,629	
Border Health Academic Expansion	3,069,237	3,124,028	
Border Health Academic Operations Support	365,625	372,258	
Border Health Resident Support	413,989	418,286	
S. Texas Border Region Health Professional Education	1,115,671	1,118,629	

**TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
EDUCATIONAL AND GENERAL FUNDS
BUDGET SUMMARY**

Board Minutes
August 22, 1997
Attachment H13, page 6
Item H130

	FY 1997	FY 1998	% CHANGE
School of Nursing	2,566,225	2,684,214	
School of Allied Health			
Lubbock	2,044,622	2,139,342	
Amarillo	509,781	809,400	
Odessa	127,277	139,238	
Physician Assistant Program		50,000	
Graduate School for Biomedical Education	829,510	847,864	
Pharmacy School	1,993,868	4,085,054	
Special Items	6,337,665	4,861,794	
Educational and General Capital Projects	<u>7,735,000</u>	<u>7,735,000</u>	
TOTAL ESTIMATED EXPENDITURES	<u>\$ 74,240,727</u>	<u>\$ 81,123,402</u>	9.27%

**TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
DESIGNATED FUNDS
BUDGET SUMMARY**

Board Minutes
August 22, 1997
Attachment H13, page 7
Item H130

	FY 1997	FY 1998	% CHANGE
SOURCES OF FUNDS			
Medical Practice Income Plan			
Estimated Income	\$ 86,459,421	\$ 87,698,872	
Use of Fund Balance	<u>2,200,000</u>	<u>1,833,450</u>	
Total Medical Practice Income Plan	<u>88,659,421</u>	<u>89,532,322</u>	
Nursing Income Plan			
Estimated Income	<u>1,831,273</u>	<u>1,871,000</u>	
Total Nursing Income Plan	<u>1,831,273</u>	<u>1,871,000</u>	
Allied Health Income Plan			
Estimated Income	<u>178,176</u>	<u>188,176</u>	
Total Allied Health Income Plan	<u>178,176</u>	<u>188,176</u>	
Pharmacy Income Plan			
Estimated Income	<u>88,000</u>	<u>102,500</u>	
Total Pharmacy Income Plan	<u>88,000</u>	<u>102,500</u>	
General Designated Funds			
Estimated Income	6,947,391	9,563,601	
Use of Fund Balance	<u>195,776</u>	<u>472,913</u>	
Total General Designated Funds	<u>7,143,167</u>	<u>10,036,514</u>	
Self Insurance Fund			
Estimated Income	<u>736,324</u>	<u>824,204</u>	
Total Self Insurance Fund	<u>736,324</u>	<u>824,204</u>	
TOTAL SOURCES OF FUNDS	<u>\$ 98,636,361</u>	<u>\$ 102,554,716</u>	3.97%
ESTIMATED EXPENDITURES			
Medical Practice Income Plan	\$ 88,659,421	\$ 89,532,322	
Nursing Income Plan	1,831,273	1,871,000	
Allied Health Income Plan	178,176	188,176	
Pharmacy Income Plan	88,000	102,500	
General Designated Funds	7,143,167	10,036,514	
Self Insurance Fund	<u>736,324</u>	<u>824,204</u>	
TOTAL ESTIMATED EXPENDITURES	<u>\$ 98,636,361</u>	<u>\$ 102,554,716</u>	3.97%

**TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
CURRENT RESTRICTED FUNDS
BUDGET SUMMARY**

Board Minutes
August 22, 1997
Attachment H13, page 8
Item H130

	FY 1997	FY 1998	% CHANGE
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SOURCES OF FUNDS

Federal	\$ 3,418,600	\$ 3,549,741	
State	71,580,997	72,799,105	
Local	24,990,162	36,359,727	
Private	<u>4,557,764</u>	<u>7,522,819</u>	
TOTAL SOURCES OF FUNDS	<u>\$ 104,547,523</u>	<u>\$ 120,231,392</u>	15.00%

ESTIMATED EXPENDITURES

Correctional Health Care	\$ 65,219,521	\$ 67,022,428	
Library	114,950	115,630	
School of Medicine	17,353,240	27,352,025	
Resident Support	20,175,200	22,807,494	
School of Allied Health	555,025	802,378	
School of Nursing	137,550	284,957	
School of Pharmacy	426,256	1,336,000	
Healthnet	162,250	96,500	
Student Financial Aid	<u>403,531</u>	<u>413,980</u>	
TOTAL ESTIMATED EXPENDITURES	<u>\$ 104,547,523</u>	<u>\$ 120,231,392</u>	15.00%

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
AUXILIARY FUNDS
BUDGET SUMMARY

Board Minutes
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Item H130

	FY 1997	FY 1998	% CHANGE
SOURCES OF FUNDS			
Estimated Income	\$ 414,538	\$ 444,187	
Use of Fund Balance		50,000	
TOTAL SOURCES OF FUNDS	\$ 414,538	\$ 494,187	19.21%
ESTIMATED EXPENDITURES			
Traffic and Parking	\$ 292,838	\$ 372,487	
Various Auxiliaries	121,700	121,700	
TOTAL ESTIMATED EXPENDITURES	\$ 414,538	\$ 494,187	19.21%

**TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
SERVICE DEPARTMENTS
BUDGET SUMMARY**

Board Minutes
August 22, 1997
Attachment H13, page 10
Item H130

	FY 1997	FY 1998	% CHANGE
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SOURCES OF FUNDS

Estimated Income	\$ 5,288,854	\$ 5,281,472	
Use of Fund Balance	<u>57,653</u>	<u>353,000</u>	
TOTAL SOURCES OF FUNDS	<u>\$ 5,346,507</u>	<u>\$ 5,634,472</u>	5.39%

ESTIMATED EXPENDITURES

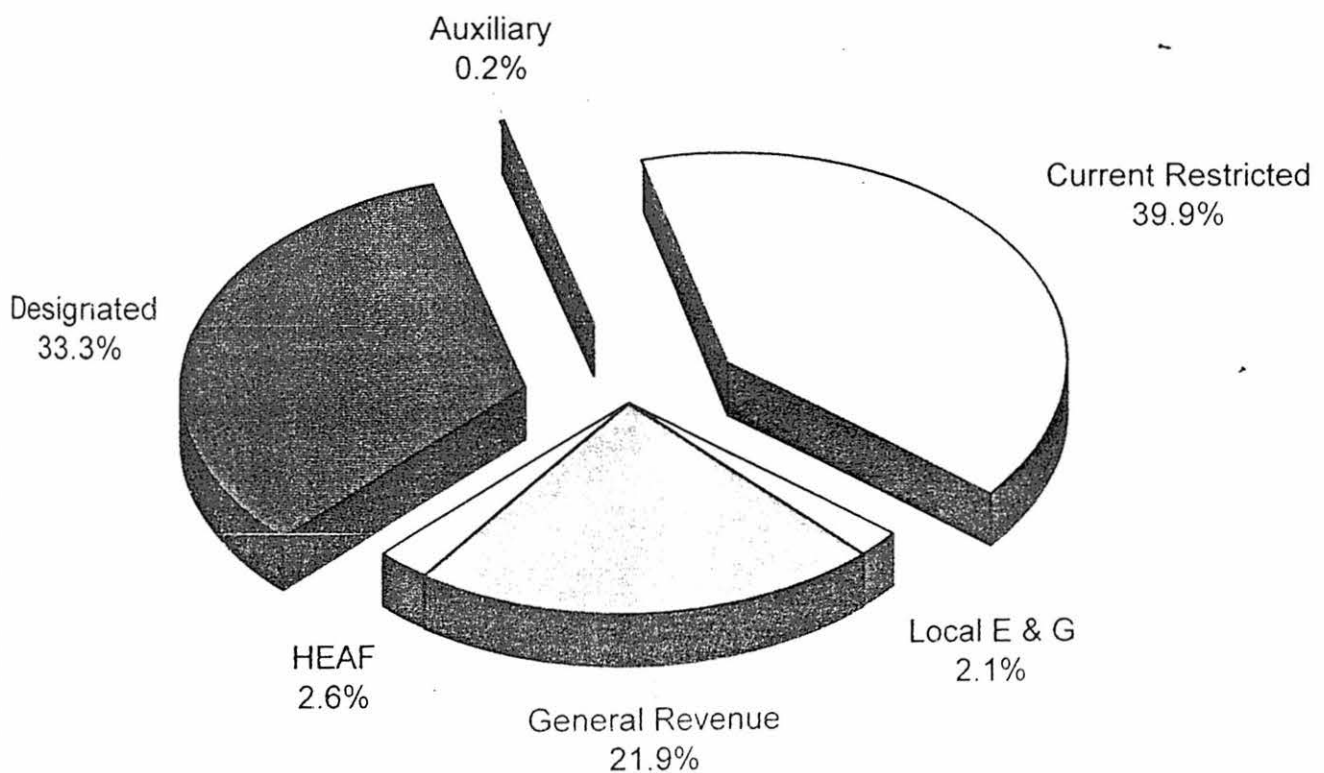
Printing and Copying Service	\$ 1,312,000	\$ 1,710,000	
Central Stores	923,153	1,137,669	
Plant Operations	160,000	166,000	
Vivarium Services	335,981	336,645	
Electron Microscopy Services	195,000	210,000	
Various Service Departments	<u>2,420,373</u>	<u>2,074,158</u>	
TOTAL ESTIMATED EXPENDITURES	<u>\$ 5,346,507</u>	<u>\$ 5,634,472</u>	5.39%

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
BUDGET SUMMARY
FISCAL YEAR 1998

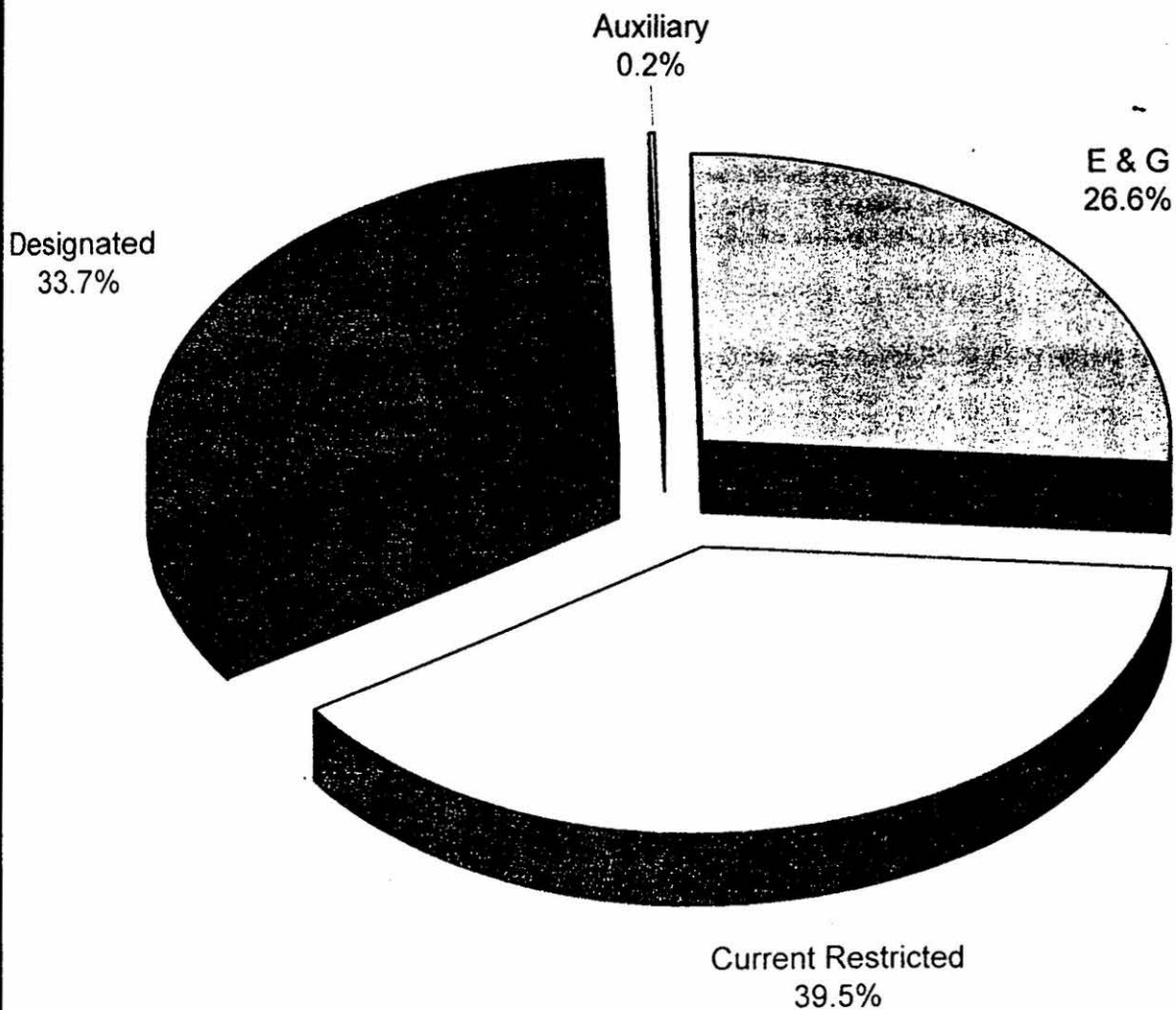
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	Estimated 9/1/97 Balance	Estimated Income	Estimated Expenditures	Reappropriations	Estimated 8/31/98 Balance
Educational and General	\$ 1,451,500	\$ 80,178,515	\$ 81,123,402	\$ 419,887	\$ 926,500
Designated	29,151,900	100,248,353	102,554,716		26,845,537
Current Restricted	23,521,600	120,231,392	120,231,392		23,521,600
Auxiliary	<u>783,500</u>	<u>444,187</u>	<u>494,187</u>		<u>733,500</u>
Total All Funds	<u>\$ 54,908,500</u>	<u>\$ 301,102,447</u>	<u>\$ 304,403,697</u>	<u>\$ 419,887</u>	<u>\$ 52,027,137</u>
Service Departments	\$ 4,235,900	\$ 5,281,472	\$ 5,634,472		\$ 3,882,900

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER FY 1998 REVENUE BUDGET



TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER FY 1998 EXPENDITURE BUDGET



Executive Summary of Agreement

Agreement Participants:

Texas Tech University Health Sciences Center
Carter Vending Company (El Paso, Texas)

Previous Agreement:

Item H121; August 13, 1993.

Statement of Major Points:

Competitive bids were sought for the El Paso campus' candy, snacks, and pastries vending concessions. Carter Vending Company was the most financially favorable bid for Texas Tech University Health Sciences Center.

This concession contract provides snacks vending for the El Paso campus. Carter Vending Company will pay TTUHSC 20.5% of gross sales after deducting sales taxes. Additionally, the vendor is guaranteeing income to be at least \$4,000 over the three-year term of the agreement that begins September 1, 1997 and ends August 31, 2000. Earnings from this concession contract are used to fund student activities.

Revisions/Changes from Previous Agreement:

This is an increase in the percent of gross sales paid to TTUHSC from 16.1% to 20.5%.

Executive Summary of Agreement

Agreement Participants:

Texas Tech University Health Sciences Center
Magnolia Coca-Cola Bottling Company (El Paso, Texas)

Previous Agreement:

None.

Statement of Major Points:

Competitive bids were sought for the El Paso campus soft drink vending concessions. Magnolia Coca-Cola Bottling Company was the most financially favorable bid for Texas Tech University Health Sciences Center.

Magnolia Coca-Cola will pay TTUHSC 36% of gross sales after deducting sales tax. Additionally, the vendor is guaranteeing income to be at least \$30,000 over the three-year term of the agreement that begins September 1, 1997 and ends August 31, 2000. Earnings from this concession contract are used to fund student activities.

Revisions/Changes from Previous Agreement:

None.

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER SALARY ADJUSTMENT

				Remarks
BOARD R/ RATIFICATION				
SALAR SALARY INCREASES				
	CURRENT SALARY	NEW SALARY	% NCREASE	
Dave Muthali - Internal Medicine - Amarillo	102,874	122,000	18.6%	Equity Adjustment

INTRODUCTIONS

Before we begin the routine business of the day, I want to introduce some people to you who have recently been appointed as officers at Texas Tech or who have received positive national recognition for their work. I realize there are quite a few individuals on the list and I'll be brief.

The first individual I want to introduce is Ms. Frances Grogan, the new Director of the Office of Internal Audit. Ms Grogan is a CPA and recently served as director of internal audit at Angelo State University. As you will recall, Ms. Grogan reports directly to the Board of Regents.

Faculty and student governance associations are newly organized for this year. Dr. Edward V. George has been elected President of the Texas Tech University Faculty Senate. Dr. George is a professor of Classical and Modern Languages and Literatures.

Russell Thomasson, a senior accounting major from Lubbock is the new president of the Texas Tech Student Government Association, and Katie Dixon, a junior in the School of Nursing from Garland is the president of the Health Sciences Center Student Senate.

I'm sure you'll be hearing more from these individuals and their groups this year.

Next, I'd like to introduce Dr. Reed Richardson and Dr. Richard Tock. Dr. Richardson is a professor in Agricultural Sciences and Natural Resources while Dr. Tock is a professor of Chemical Engineering. These two have joined together in their research and recently received a patent for a chemical food additive that turns gin trash and corn husks into a digestible feed for cattle.

Dr. Ernst W. Kiesling is a Civil Engineering professor who was recently interviewed on NBC's *Dateline*, a news magazine show, concerning the ways Texas Tech's wind engineering researchers have developed to survive a tornado in a shelter built in a closet of a residence. Such a shelter would have saved lives in the Jarrell tornado. Requests for information on the TTU shelter have skyrocketed.

A new book has just been published by a Tech law professor, Dr. Bill Piatt. Dr. Piatt is the J. Hadley Edgar Professor of Law at TTU and is a nationally recognized author and legal scholar in immigration law and policy. His new book, his 6th, by the way, is *Black and Brown in America: The Case for Cooperation*. Dr. Piatt's works have attracted national attention, including published pieces in the *Houston Chronicle*, *Washington Post*, *USA Today*, *New York Times*, and the *Austin American-Statesman*.

The Health Sciences Center has been equally active. The University Medical Center's \$10 million endowed chair program that began last October has named its first two recipients. They are: Dr. John A. Griswold, an associate professor in the department of surgery and medical director of the Timothy J. Harnar Burn Center at the University Medical Center and Dr. Kenneth M. Nugent, professor and associate chair in the department of internal medicine and chief of the pulmonary division.

Dr. Lorenz Lutherer, professor of physiology and internal medicine, recently received a Fulbright Fellowship to teach in Peru. Lutherer, a member of the original health sciences center faculty, is only the second faculty member from HSC to receive a Fulbright Fellowship.

Dr. Joel Kupersmith has been named the new dean of the School of Medicine and vice president for clinical affairs. Dr. Kupersmith served as professor and chair of the department of medicine at Michigan State University.

Dr. Manuel de la Rosa is the new Regional Dean for the Texas Tech Medical Center at El Paso. De la Rosa, an El Paso native, completed his medical degree and residency at Texas Tech and has served as interim dean in El Paso since February.

Two individuals could not be here today, however, I wanted you to know about them.

Dr. John Abernathy is the new dean of the College of Agricultural Sciences and Natural Resources. He served as a professor and director of the Texas A&M Agricultural Experiment Station for 13 years. Dr. Abernathy is in Russia this week.

Closer to home, Dr. Eileen Johnson is the Curator of Anthropology and the Director of the Lubbock Lake Landmark. She also serves as a professor of museum science. Dr. Johnson recently was appointed by Governor George Bush to serve on the Texas Historical Commission, the state agency for historic preservation. Dr. Johnson is in Oklahoma.

TEXAS TECH UNIVERSITY
TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
Lubbock, Texas

Academic, Clinical and Student Affairs Committee

FOR BOARD INFORMATION

TEXAS TECH UNIVERSITY

None

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER

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3. School of Medicine Faculty Employment Contracts. 6

Texas Tech University
Health Sciences Center
Lubbock, Texas

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For Information Only: Contracts renewed per Board Policy 04.05 4.d.
March 15, 1997 to July 10, 1997

<u>FACILITY</u>	<u>SCHOOL/ DEPARTMENT</u>	<u>CONTRACT AMOUNT</u>	<u>PREVIOUS CONTRACT AMOUNT</u>
Northwest Texas Healthcare System	School of Medicine	2,539,539	2,335,000
R.E. Thomason General Hospital	School of Medicine	6,007,344	6,214,245

Texas Tech University
Health Sciences Center

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For Information Only: Affiliation Agreements
March 15, 1997 through July 10, 1997

FACILITY/CITY	DEPARTMENT	SCHOOL
All Saints Hospital Fort Worth, Texas	Physical Therapy	Allied Health
Amarillo Speech-Hearing and Language Center Amarillo, Texas	Communication Disorders	Allied Health
American Therapy Services San Antonio, Texas	Occupational Therapy and Physical Therapy	Allied Health
Arlington Orthopedic Associates Arlington, Texas	Occupational Therapy	Allied Health
Audio Acoustics Odessa, Texas	Communication Disorders	Allied Health
Cogdell Memorial Hospital Snyder, Texas	Occupational Therapy and Physical Therapy	Allied Health
Columbia Medical Center Arlington, Texas	Occupational Therapy	Allied Health
Columbia-Presbyterian-St. Luke's Medical Center Denver, Colorado	Communication Disorders	Allied Health
Cook Children's Medical Center Fort Worth, Texas	Occupational Therapy	Allied Health
Dalaine Barron Fletcher Occupational Therapy Clinic DeSoto, Texas	Occupational Therapy	Allied Health
High Frontier, Inc. Fort Davis, Texas	Occupational Therapy	Allied Health
Human Performance Institute American Fork, Utah	Physical Therapy	Allied Health
Jewish Hospital Health Care Services, Inc. New Albany, Indiana	Communication Disorders	Allied Health
Lubbock Independent School District Lubbock, Texas	Communication Disorders	Allied Health

Affiliation Agreements
March 15, 1997 through July 10, 1997
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Lubbock State School Lubbock, Texas	Communication Disorders	Allied Health
Medical Center Hospital Odessa, Texas	Communication Disorders	Allied Health
Memorial Rehabilitation Hospital Houston, Texas	Occupational Therapy	Allied Health
Methodist Hospital Lubbock, Texas	Communication Disorders	Allied Health
Mitchell County Hospital Colorado City, Texas	Emergency Medical Services	Allied Health
Morning Side Ministries San Antonio, Texas	Occupational Therapy	Allied Health
Neurology Research and Education Center Lubbock, Texas	Communication Disorders	Allied Health
Orem Community Hospital Orem, Utah	Physical Therapy	Allied Health
Orthopaedic Hand and Microvascular Surgery Center Lubbock, Texas	Occupational Therapy	Allied Health
Parenting Cottage Lubbock, Texas	Communication Disorders	Allied Health
Pediatric Therapy, Inc. Lubbock, Texas	Communication Disorders	Allied Health
Presbyterian Hospital of Kaufman Kaufman, Texas	Occupational Therapy	Allied Health
Presbyterian Hospital of Plano Plano, Texas	Occupational Therapy	Allied Health
RehabWorks of TX Charlotte, North Carolina	Occupational Therapy	Allied Health
Salem Hospital Salem, Oregon	Occupational Therapy	Allied Health
South Plains/Warm Springs Lubbock, Texas	Communication Disorders	Allied Health
Southwood Rehabilitation and Nursing Facility College Station, Texas	Occupational Therapy and Physical Therapy	Allied Health

Affiliation Agreements
March 15, 1997 through July 10, 1997
Page 3

Speech-Language Hearing Center of Lubbock Lubbock, Texas	Communication Disorders	Allied Health
St. John's Health System Anderson, Indiana	Communication Disorders	Allied Health
Sunshine Rehab Clearwater, Florida	Occupational Therapy	Allied Health
The Therapy Center Bryan, Texas	Occupational Therapy	Allied Health
TheraTx Rehab Centers of Excellence- Heritage Oaks Lubbock, Texas	Communication Disorders	Allied Health
TheraTx, Inc., d.b.a. Lubbock Hospital House Lubbock, Texas	Occupational Therapy	Allied Health
Pecos County Memorial Hospital Pecos County General Hospital Fort Stockton, Texas	Texas Tech University Health Sciences Center El Paso, Texas	Medicine
St. Mary Surgicenter Lubbock, Texas	Orthopaedic Surgery	Medicine
Tenet Hospitals Limited a.k.a. Providence Memorial Hospital El Paso, Texas	Texas Tech University Health Sciences Center El Paso, Texas	Medicine
University of Texas at El Paso El Paso, Texas	Texas Tech University Health Sciences Center El Paso, Texas	Medicine
University of Texas Medical Branch at Galveston Galveston, Texas	Pediatrics El Paso, Texas	Medicine
East Texas Medical Center at Tyler Tyler, Texas	Nursing	Nursing
Espanola Hospital Espanola, New Mexico	Nursing	Nursing
Family Hospice of the Plains Lubbock, Texas	Nursing	Nursing

Affiliation Agreements
March 15, 1997 through July 10, 1997
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Lovelace Medical Center, Midwifery Service Albuquerque, New Mexico	Nursing	Nursing
Lubbock County Chief Medical Examiner Lubbock, Texas	Nursing	Nursing
Presbyterian Healthcare Services Albuquerque, New Mexico	Nursing	Nursing
Prude Ranch Fort Davis, Texas	Nursing	Nursing
Santa Fe PHS Indian Hospital Santa Fe, New Mexico	Nursing	Nursing
Symphony Home Care Lubbock, Texas	Nursing	Nursing
Trinity Mother Frances Hospital Tyler, Texas	Nursing	Nursing
New Mexico Junior College Hobbs, New Mexico	Managed Health Care Lubbock, Texas	Managed Health Care

Texas Tech University
Health Sciences Center
Lubbock, Texas

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For Information Only: School of Medicine Faculty Employment Contracts

<u>Name & Rank/Title</u>	<u>Department & Campus</u>	<u>Term</u>	<u>Amount</u>
Harpreet S. Grewal, M.D. Assistant Professor	Anesthesiology - Lubbock	8/11/97-8/31/98	\$149,000
Joan T. Hoffpauir, M.D. Instructor	Pathology - El Paso	7/1/97-8/31/98	100,000
Tae Kim, M.D. Assistant Professor	Anesthesiology - Lubbock	6/23/97-8/31/97	150,000
Tammy Camp, M.D. Assistant Professor	Pediatrics - Lubbock	1/1/98-8/31/98	110,000
Annette Hoy, M.D. Instructor	Ob/Gyn - El Paso	5/1/97-8/31/97	100,000
Joseph E. Loewenstein, M.D. Professor	Internal Medicine - Odessa	7/1/97-8/31/98	130,000
Daniel Miller, M.D. Assistant Professor	Neurosurgery - El Paso	5/15/97-8/31/97	250,000
Joe Robinson, M.D. Assistant Professor	Anesthesiology - Lubbock	6/1/97-8/31/98	150,000
Steven Steinbaum, M.D. Assistant Professor	Radiology - Lubbock	5/1/97-4/30/99	170,000
George Vailas, M.D. Associate Professor	Pediatrics - Odessa	9/1/97-8/31/98	137,500
Larry Brit Lawrence, M.D. Instructor	Ob/Gyn - Lubbock	7/1/97-8/31/98	120,000
Julie B. Greene, D.O. Instructor	Anesthesiology - Lubbock	7/1/97-8/31/98	135,000
Yangheng Fu, M.D., Ph.D. Assistant Professor	Internal Medicine - Amarillo	7/1/97-8/31/97	100,000
Matthew Brian Krebs, M.D. Assistant Professor	Family & Community Medicine	7/1/97-8/31/98	130,000
Brian J. Norkiewicz, M.D. Instructor	Surgery - Lubbock	7/1/97-8/31/98	100,000
Sammy A. Deeb, M.D. Instructor	Surgery - Lubbock	7/1/97-6/30/98	100,000
Andrew McKibben, M.D. Assistant Professor	Internal Medicine - Odessa	7/1/97-8/31/98	130,000

TEXAS TECH UNIVERSITY
TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
Lubbock, Texas

Finance and Administration Committee

FOR BOARD INFORMATION

TEXAS TECH UNIVERSITY

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TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER

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Texas Tech University
Report of Official Travel
Cumulative by Fiscal Quarter
Fiscal Year 1997

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I. Summary and Comparison of Travel Costs by Expenditure Classification.

	<u>This Year</u> <u>Quarters I, II & III</u>	<u>Last Year</u> <u>Quarters I, II & III</u>
(a) Commercial Airfare	\$ 932,348.79	\$ 918,611.61
(b) Personal Auto Mileage	139,196.86	124,350.20
(c) Automobile Rental	168,007.53	178,176.24
(d) Per Diem (In-State)	313,715.12	405,523.99
(e) Meals and Lodging (Out-of-State)	584,708.58	577,756.02
(f) All other, including registration fees, charter aircraft, taxi, limousine fares, etc.	<u>517,706.75</u>	<u>484,127.26</u>
Sub-Total	<u>\$2,655,683.63</u>	<u>\$2,688,545.32</u>
(g) Intercollegiate Athletic Team/ Student Group Travel	<u>1,695,002.85</u>	<u>1,110,499.81</u>
Totals	<u>\$4,350,686.48</u>	<u>\$3,799,045.13</u>

II. Percent of total travel cost incurred by purpose for Quarters I, II & III of this fiscal year.

	<u>Percent of Total Travel Cost</u>			
	<u>In-State</u>	<u>Out-of- State</u>	<u>Out-of- Country</u>	<u>Total</u>
(a) To present an original research paper	1.29	5.59	1.46	8.34
(b) Required for research project	1.72	1.43	.68	3.83
(c) Attendance at professional meeting, workshop, conference, seminar, etc.	21.09	32.70	4.40	58.19
(d) To perform official business and duties	14.01	11.56	.88	26.45
(e) Multi-purpose meeting/paper	<u>.73</u>	<u>1.71</u>	<u>.75</u>	<u>3.19</u>
Totals	<u>38.84</u>	<u>52.99</u>	<u>8.17</u>	<u>100.00</u>

*Includes travel expenditures for the Alamo Bowl in 1997 and the Copper Bowl in 1996.

III. Cities traveled to and number of trips (5,954) for the purposes shown in Section II and for Quarters I, II & III:

- (a) In-State : West Texas Area (740); Dallas/Fort Worth (665); Austin (661); San Antonio (282); Houston (259); Amarillo (161); Midland/Odessa (113); El Paso (102); College Station (88); Sierra Blanca (84); Corpus Christi (56); Abilene (45); Waco (44); Richardson (42); San Marcos (36); San Angelo (31); Others (400).
- (b) Out-of-State : Washington, D.C. (140); New Orleans (121); Chicago (105); Albuquerque (87); Kansas City (65); San Diego (63); Orlando (55); San Francisco (49); Denver (49); Atlanta (49); St. Louis (43); Las Vegas (38); New York (36); Tulsa (32); Phoenix (30); Louisville (28); Columbia (27); Boston (24); Oklahoma City (24); Nashville (22); Los Angeles (21); Tuscon (21); Stillwater (21); Norman (20); San Jose (19); Cincinnati (18); Indianapolis (17); Minneapolis (17); Las Cruces (16); Manhattan (15); Boulder (15); Santa Fe (15); Baltimore (15); Lincoln (14); Rapid City (14); Birmingham (13); Salt Lake City (13); Seattle (13); Fayetteville (12); Miami (12); Lawrence (12); Reno (10); Philadelphia (10); Memphis (10); Others (553).
- (c) Out-of-Country: Mexico City, Mexico (19); Puebla, Mexico (12); Toronto, Canada (6); Vancouver, Canada (5); London, England (5); Luquillo, Puerto Rico (4); San Juan, Puerto Rico (4); Geneva, Switzerland (4); Taipei, Taiwan (4); Innsbruck, Austria (3); Guadalajara, Mexico (3); Sydney, Australia (2); Beijing, China (2); Prague, Czechoslovakia (2); Liverpool, England (2); Wust, Germany (2); Guanajuato, Mexico (2); Michoacan, Mexico (2); Monterrey, Mexico (2); El Verde, Puerto Rico (2); Chernobyl, Russia (2); Chilton, United Kingdom (2); Oxfordshire, United Kingdom (2); Buenos Aires, Argentina (1); Purth, Australia (1); Townsville, Australia (1); Edmonton, Canada (1); Hamilton, Canada (1); Montreal, Canada (1); Winnipeg, Canada (1); San Jose, Costa Rica (1); Czech Republic, Czechoslovakia (1); Odense, Denmark (1); Warwick, England (1); Helsinki, Finland (1); D'Angus, France (1); Paris, France (1); St. Denis, France (1); Leipeg, Germany (1); Munich, Germany (1); Thessaloniki, Greece (1); Budapest, Hungary (1); New Delhi, India (1); Haifa, Isreal (1); Tel Aviv, Isreal (1); Assisi, Italy (1); Aviano, Venice, Italy (1); Garda, Italy (1); Rome, Italy (1); Kobe, Japan (1); Nogoya, Japan (1); Sendai, Japan (1); Tokyo, Japan (1); Amman, Jordan (1); Juarez, Mexico (1); Tamaulipas, Mexico (1); Eindhoven, Netherlands (1); Groningen Netherlands (1); Christ Church, New Zealand (1); Islamabad, Pakistan (1); Asuncion, Paraguay (1); Colombo, Sri Lanka, Philippines (1); Moscow, Russia (1); Granada, Spain (1); Madrid, Spain (1); Valencia, Spain (1); Bazel, Switzerland (1); Ankara, Turkey (1); Kieve, Ukraine (1); Manchester, United Kingdom (1); Reading, United Kingdom (1); Hanoi, United Kingdom (1).

BUDGET ADJUSTMENTS OF \$100,000 OR MORE FOR
SUPPLEMENTAL AWARDS OR RENEWALS OF RESEARCH
AND OTHER SPONSORED PROJECTS

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March 3, 1997 Through June 30, 1997

Project Activity	Amount	Source of Funds
Ultraclean Experiments for Directed Energy Plasma	188,741	AFOSR Grant#F49620-97-1-0106 CFDA #12.630
Low Noise ALGaN Photodetectors	149,924	Office of Naval Research CFDA #12.300
Tri-University Multidisciplinary, High Energy Microwave Device Consortium	242,268 2,242,189	AFOSR/MURI Contract # F49620-95-1-033
Tri-University Multidisciplinary, High Energy Microwave Device Consortium	486,611 2,728,800	AFOSR/MURI Contract # F49620-95-1-033
Upward Bound	359,888	US Dept of Education PO74A50425-97 CFDA #84.047A
New Anion-Exchange Resins for Improved Separations of Nuclear Materials	125,000	Dept of Energy #DE-FG07-97ER14765 CFDA #81.049 Amndt#A005
Metal Ion Complex by Proton-ionizable Lariat Ethers...	110,000 388,210	Dept of Energy #DE-FG03-94ER14416 CFDA #81.049 Amndt#A005
Texas Manufacturing Assistance Center Program (TMAC)	254,959 642,055	Texas A & M Subcntrct thru Texas Dept of Commerce - US Dept of Commerce CFDA #11.611
Robust WDM Network	130,000	DOD-US Army Research Lab/Colorado State University Grant #G-2515-2
Triggered Vacuum Gap Research	110,114	Physics International CFDA #12.000AR
CAD/CAM Laboratory Project	100,000	Private Gifts/Grants/Contract 70,000 - This is a master account
Evaporation of Ammonia Outside	115,676	American Society of Heating

07/25/97, 10:20 AM

VPFA91

BUDGET ADJUSTMENTS OF \$100,000 OR MORE FOR
SUPPLEMENTAL AWARDS OR RENEWALS OF RESEARCH
AND OTHER SPONSORED PROJECTS

March 3, 1997 Through June 30, 1997

Project Activity	Amount	Source of Funds
Smooth and Enhanced Tubes with Miscible and Immiscible Oils		Refrigerating and Air- Conditioning Engineers, Inc., (ASHRAE)
Performance Evaluation of Essential Facilities in Severe Windstorms	101,127 298,748	Georgia Emergency Management Agency

TEXAS TECH UNIVERSITY
Summary of Revenues by Budget Category - FY 1997
May 31, 1997

Board Minutes
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August 22, 1997

	Current Budget	Historical Norm	Year-to-Date Actual	Actual to Historic Norm Over(Under)	Actual %	Historic %
EDUCATIONAL AND GENERAL						
General Revenue	\$ 86,121,368	\$ 64,591,026	\$ 64,764,632	\$ 173,606	75.20%	75.00%
Tuition, net	21,333,325	20,811,122	21,330,386	519,264	99.99%	97.55%
Fees	1,123,191	1,120,230	1,104,054	(16,176)	98.30%	99.74%
Sales and Services	43,025	39,467	46,378	6,911	107.79%	91.73%
Indirect Cost, net	1,924,000	1,366,026	1,770,298	404,272	92.01%	71.00%
Organized Activities	193,675	200,516	188,873	(11,643)	97.52%	103.53%
Extension Courses	768,958	815,504	768,964	(46,540)	100.00%	106.05%
Time Deposit Interest	1,760,612	1,444,514	2,202,084	757,570	125.07%	82.05%
Miscellaneous	82,312	111,787	225,776	113,989	274.29%	135.81%
HEAF	16,887,085	12,665,314	12,665,314	0	75.00%	75.00%
Graduate Tuition	3,862,546	3,524,253	3,679,911	155,658	95.27%	91.24%
Authorized Carryforwards	15,339,400	15,339,400	15,339,400	0	100.00%	100.00%
TOTAL EDUCATIONAL AND GENERAL	\$ 149,439,497	\$ 122,029,159	\$ 124,086,069	\$ 2,056,911	83.03%	81.66%
DESIGNATED FUNDS						
General Designated-Pledged	\$ 47,445,395	\$ 44,839,118	\$ 45,496,374	\$ 657,256	95.89%	94.51%
General Designated-Unpledged	33,075,581	30,772,224	29,826,439	(945,785)	90.18%	93.04%
Designated Service Departments	18,967,953	13,193,147	13,434,795	241,648	70.83%	69.55%
Authorized Carryforwards	4,122,492	4,122,492	4,122,492	0	100.00%	100.00%
TOTAL DESIGNATED FUNDS	\$ 103,611,421	\$ 92,926,981	\$ 92,880,100	\$ (46,881)	89.64%	89.69%
AUXILIARY FUNDS						
Pledged Auxiliary Funds	\$ 54,166,405	\$ 44,779,728	\$ 45,096,390	\$ 316,662	83.26%	82.67%
Authorized Carryforwards	2,217,298	2,217,298	2,217,298	0	100.00%	100.00%
TOTAL AUXILIARY FUNDS	\$ 56,383,703	\$ 46,997,026	\$ 47,313,688	\$ 316,662	83.31%	83.35%
CURRENT RESTRICTED FUNDS						
CONTRACTS, GRANTS, AND GENERAL						
Federal Programs	\$ 12,571,200	\$ 7,808,255	\$ 8,508,625	\$ 700,370	67.68%	62.11%
State Programs	1,924,900	1,427,146	834,461	(592,685)	43.35%	74.14%
Private Programs	12,411,928	11,679,203	12,506,661	827,453	100.76%	94.10%
TOTAL CONTRACTS, GRANTS, AND GENERAL	\$ 26,908,028	\$ 20,914,609	\$ 21,849,747	\$ 935,138	81.20%	77.73%
STUDENT AID						
Federal Financial Aid	\$ 8,550,000	\$ 5,303,339	\$ 5,448,989	\$ 145,650	63.73%	62.03%
Scholarships and Fellowships	2,583,000	1,859,350	2,763,969	924,619	107.78%	71.98%
TOTAL STUDENT AID	\$ 11,133,000	\$ 7,162,689	\$ 8,232,958	\$ 1,070,269	73.95%	64.34%
TOTAL CURRENT RESTRICTED FUNDS	\$ 38,041,028	\$ 28,077,298	\$ 30,082,705	\$ 2,005,407	79.08%	73.81%
TOTAL REVENUES	\$ 347,475,649	\$ 290,030,164	\$ 294,362,563	\$ 4,332,099	84.71%	83.47%

TEXAS TECH UNIVERSITY
Summary of Expenditures by Budget Category - Fiscal Year 1997
May 31, 1997

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August 22, 1997

	Current Budget	Historical Norm	Year-to-Date Actual	Actual to Historical Norm Over(Under)	Actual %	Historical %
EDUCATIONAL AND GENERAL						
General Administration	\$ 5,340,566	\$ 3,119,612	\$ 2,567,945	\$ (551,667)	48.08%	58.41%
Student Services	2,007,503	499,833	1,377,802	877,969	68.63%	24.90%
Staff Benefits	5,030,484	2,491,936	1,797,587	(694,349)	35.73%	49.54%
OASI	1,585,115	158,979	6,861	(152,118)	0.43%	10.03%
Faculty Salaries	54,923,266	43,269,161	43,252,634	(16,527)	78.75%	78.78%
Departmental Operating Expense	9,684,427	6,832,439	6,262,474	(569,965)	64.67%	70.55%
Instructional Administration	3,355,466	2,260,484	2,227,445	(33,039)	66.38%	67.37%
Academic Operations Support	1,569,760	325,826	390,836	65,010	24.90%	20.76%
Library	2,824,746	2,511,081	2,548,202	37,121	90.21%	88.90%
Organized Research	2,667,746	1,532,413	970,971	(561,442)	36.40%	57.44%
Physical Plant	8,623,483	5,841,875	5,467,774	(374,101)	63.41%	67.74%
Purchased Utilities	9,693,203	6,004,634	5,774,477	(230,157)	59.57%	61.95%
Scholarships	172,356	101,058	163,341	62,283	94.77%	58.63%
Special Items	5,077,548	2,940,100	2,806,111	(133,989)	55.27%	57.90%
International Cultural Center	1,106,621	211,452	278,113	66,661	25.13%	19.11%
West Texas Legal Resource Center	3,247,920	2,331,210	2,174,934	(156,276)	66.96%	71.78%
Bond Retirement	4,369,684	3,393,006	3,498,551	105,545	80.06%	77.65%
Other	2,462,988	1,671,217	1,502,802	(168,415)	61.02%	67.85%
HEAF	21,196,822	3,011,209	3,655,878	644,669	17.25%	14.21%
Graduate Tuition	4,499,793	3,763,241	3,058,972	(704,269)	67.98%	83.63%
TOTAL EDUCATIONAL AND GENERAL	\$ 149,439,497	\$ 92,270,766	\$ 89,783,710	\$ (2,487,056)	60.08%	61.74%
DESIGNATED FUNDS						
General Designated-Pledged	\$ 50,785,996	\$ 36,546,766	\$ 35,671,221	\$ (875,545)	70.24%	71.96%
General Designated-Unpledged	33,515,805	35,954,543	35,898,055	(56,488)	107.11%	107.28%
Related Service Departments	19,309,620	13,426,781	13,125,156	(301,625)	67.97%	69.53%
TOTAL DESIGNATED FUNDS	\$ 103,611,421	\$ 85,928,090	\$ 84,694,432	\$ (1,233,658)	81.74%	82.93%
AUXILIARY FUNDS						
Pledged Auxiliary Funds	\$ 56,383,703	\$ 42,124,162	\$ 41,719,048	\$ (405,114)	73.99%	74.71%
TOTAL AUXILIARY FUNDS	\$ 56,383,703	\$ 42,124,162	\$ 41,719,048	\$ (405,114)	73.99%	74.71%
CURRENT RESTRICTED FUNDS						
CONTRACTS, GRANTS, AND GENERAL						
Federal Programs	\$ 12,571,200	\$ 8,829,565	9,531,409	\$ 701,844	75.82%	70.24%
State Programs	1,924,900	1,191,321	886,973	(304,348)	46.08%	61.89%
Private Programs	12,411,928	8,623,458	9,391,327	767,869	75.66%	69.48%
TOTAL CONTRACTS, GRANTS, AND GENERAL	\$ 26,908,028	\$ 18,644,344	\$ 19,809,709	\$ 1,165,365	73.62%	69.29%
STUDENT AID						
Federal Financial Aid	\$ 8,550,000	\$ 8,263,711	\$ 8,450,362	\$ 186,651	98.83%	96.65%
Scholarships and Fellowships	2,583,000	2,532,321	2,840,828	308,507	109.98%	98.04%
TOTAL STUDENT AID	\$ 11,133,000	\$ 10,796,032	\$ 11,291,190	\$ 495,158	101.42%	96.97%
TOTAL CURRENT RESTRICTED FUNDS	\$ 38,041,028	\$ 29,440,376	\$ 31,100,899	\$ 1,660,523	81.76%	77.39%
TOTAL EXPENDITURES	\$ 347,475,649	\$ 249,763,394	\$ 247,298,089	\$ (2,465,305)	71.17%	71.88%
NET REVENUES OVER (UNDER)	\$ 0		\$ 47,064,474			

VPFA02I

SUMMARY OF AWARDS - UNIVERSITY

July 14, 1997

	FISCAL YEAR 1994				FISCAL YEAR 1995				FISCAL YEAR 1996				FISCAL YEAR 1997			
	Prop. No.	Awards No.	Totals	Indirect Cost Amt.	Prop. No.	Awards No.	Totals	Indirect Cost Amt.	Prop. No.	Awards No.	Totals	Indirect Cost Amt.	Prop. No.	Awards No.	Totals	Indirect Cost Amt.
SEP	53	75	3,085,319	315,164	46	63	1,899,031	206,079	19	47	2,197,979	201,491	55	70	4,815,122	410,934
OCT	58	46	2,946,522	230,003	48	57	3,396,372	292,085	45	49	2,821,837	234,428	32	44	2,487,286	221,283
NOV	47	23	490,835	45,829	56	36	2,115,755	149,950	57	31	1,398,710	146,803	59	32	2,076,205	260,341
DEC	33	44	*2,872,174	89,636	28	18	695,573	103,512	38	49	+4,354,333	169,492	41	18	975,471	113,144
JAN	54	44	972,518	167,663	55	44	2,532,322	405,157	72	47	++2,407,398	276,590	64	51	1,377,440	173,000
FEB	40	26	1,476,096	146,895	49	30	788,142	99,216	40	39	1,360,728	245,565	44	41	2,896,678	417,624
Mid Year Totals	285	258	11,843,464	995,190	282	248	11,427,195	1,255,999	271	262	14,540,985	1,274,369	295	256	14,628,202	1,596,326
MAR	22	40	1,355,603	280,132	26	29	1,042,362	112,694	27	31	1,504,600	132,030	20	34	965,175	222,393
APR	46	42	1,484,153	121,849	35	19	1,045,071	106,017	46	44	1,593,521	134,217	77	46	1,549,114	163,071
MAY	48	53	1,762,817	234,233	51	54	3,352,060	396,748	56	46	4,030,130	603,415	44	42	2,904,203	449,810
JUN	29	29	1,717,911	203,760	48	45	1,246,404	226,291	30	38	1,730,562	289,721	21	34	1,697,877	217,872
JUL	25	29	2,529,104	249,168	**231	38	1,499,737	190,850	39	48	2,899,755	290,874				
AUG	32	57	2,349,444	130,190	33	74	5,542,680	538,696	38	50	3,076,548	322,997				
Fiscal Year Totals	487	508	23,042,496	2,214,522	706	507	25,155,509	2,827,295	507	510	29,376,101	3,047,623				
Year to date totals through June																
	430	422	18,163,948	1,835,164	442	395	18,113,092	2,097,749	430	421	23,399,798	2,433,752	457	412	21,744,571	2,649,472

FY 1994 Averages

Proposals: 41
Awards: 42
Amounts: \$1,915,208
Average Award: \$45,600

FY 1995 Averages

Proposals: 59
Awards: 42
Amounts: \$2,096,292
Average Award: \$49,519

FY 1996 Averages

Proposals: 42
Awards: 43
Amounts: \$2,448,008
Average Award: \$57,600

FY 1997 Averages

Proposals: 46
Awards: 41
Amounts: \$2,174,457
Average Award: \$52,778

* This figure includes \$1,959,653 which was awarded by the State ARP/ATP Program.

+++FY 1994 and 1995 include TTRF totals.

**This figure includes 203 proposals submitted by TTU to the State ARP/ATP Program.

+This figure includes 2,998,225 which was awarded by the State ARP/ATP Program.

++This figure includes \$777,886 which was awarded by the State ARP/ATP Program.

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OFFICE OF DEVELOPMENT
 Gifts and Grants as of June 30, 1997
 and
 Gifts and Grants as of June 30, 1996

Board Minutes
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	Fiscal Year 1997	Fiscal Year 1996
Texas Tech University		
September 30	\$ 557,556.73	\$ 363,144.43
October 31	578,393.15	359,477.13
November 30	603,418.85	380,162.17
December 31	1,165,453.92	979,165.58
January 31	1,283,453.68	977,382.26
February 28	320,960.60	449,431.34
March 31	523,445.80	611,459.46
April 30	451,490.37	735,560.65
May 31	489,765.65	530,738.54
June 30	5,723,068.67	244,059.04
Total University	<u>\$ 11,697,007.42</u>	<u>\$ 5,630,580.60</u>
Texas Tech Foundation, Inc.		
September 30	\$ 271,778.21	\$ 293,343.64
October 31	560,119.76	258,418.42
November 30	301,681.62	178,791.66
December 31	2,514,723.31	1,745,900.50
January 31	349,284.13	310,006.46
February 28	323,076.90	176,552.92
March 31	130,668.68	93,899.13
April 30	338,546.90	1,034,302.11
May 31	368,723.02	203,897.32
June 30	476,782.68	212,295.66
Total Foundation	<u>\$ 5,635,385.21</u>	<u>\$ 4,507,407.82</u>
Texas Tech University Health Sciences Center		
September 30	\$ 83,293.36	\$ 66,005.40
October 31	18,506.10	37,798.83
November 30	66,242.00	35,690.00
December 31	418,675.89	54,896.00
January 31	76,340.00	112,760.26
February 28	25,143.03	36,693.43
March 31	38,482.53	25,642.86
April 30	98,539.00	367,369.36
May 31	99,758.00	14,340.00
June 30	68,111.02	91,120.30
Total Health Sciences Center	<u>\$ 993,090.93</u>	<u>\$ 842,316.44</u>
Grand Totals	<u><u>\$ 18,325,483.56</u></u>	<u><u>\$ 10,980,304.86</u></u>

Prepared in the Office of Development
 July 24, 1997

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
Summary of Revenues by Budget Category - Fiscal Year 1997
May 31, 1997

Board Minutes
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	Current Budget	Historical Norm	Year-to Date Actual	Actual to Historical Norm Over (Under)	Actual %	Historical %
EDUCATIONAL AND GENERAL						
General Revenue	\$58,609,469	\$58,527,540	\$58,609,469	\$81,929	100.00%	99.86%
Tuition, net	3,372,000	3,102,928	3,454,492	351,564	102.45%	92.02%
Fees	17,000	17,000	18,495	1,495	108.79%	100.00%
Sales and Services	422,000	312,712	360,781	48,069	85.49%	74.10%
Indirect Cost	800,000	581,956	884,810	302,854	110.60%	72.74%
Investment Income	400,000	292,088	637,097	345,009	159.27%	73.02%
Miscellaneous Revenue	18,000	14,696	12,631	(2,065)	70.17%	81.65%
HEAF	7,735,000	7,735,000	7,735,000		100.00%	100.00%
TOTAL EDUCATIONAL AND GENERAL	\$71,373,469	\$70,583,920	\$71,712,775	\$1,128,855	100.48%	98.89%
DESIGNATED						
Designated	\$99,390,334	\$73,942,670	\$69,455,263	(\$4,487,407) (1)	69.88%	74.40%
TOTAL DESIGNATED	\$99,390,334	\$73,942,670	\$69,455,263	(\$4,487,407)	69.88%	74.40%
AUXILIARY ENTERPRISES						
Auxiliary Funds	\$414,538	\$337,728	\$375,446	\$37,718	90.57%	81.47%
TOTAL AUXILIARY ENTERPRISES	\$414,538	\$337,728	\$375,446	\$37,718	90.57%	81.47%
CURRENT RESTRICTED						
CONTRACTS, GRANTS AND GENERAL						
Federal Programs	\$3,154,743	\$1,650,601	\$2,365,397	\$714,796	74.98%	52.32%
State Programs	75,104,042	53,687,126	54,197,543	510,417	72.16%	71.48%
Local Programs	26,990,162	19,513,937	18,861,287	(652,650)	69.88%	72.30%
Private Programs	7,118,090	4,763,624	5,586,756	823,132	78.49%	66.92%
TOTAL CONTRACTS, GRANTS & GENERAL	\$112,367,037	\$79,615,288	\$81,010,983	\$1,395,695	72.09%	70.85%
STUDENT AID						
Federal Financial Aid	\$263,857	\$121,056	\$142,833	\$21,777	54.13%	45.88%
Scholarships and Fellowships	139,674	92,139	145,207	53,068	103.96%	65.97%
TOTAL STUDENT AID	\$403,531	\$213,195	\$288,040	\$74,845	71.38%	52.83%
TOTAL CURRENT RESTRICTED	\$112,770,568	\$79,828,483	\$81,299,023	\$1,470,540	72.09%	70.79%
TOTAL REVENUES	\$283,948,909	\$224,692,801	\$222,842,507	(\$1,850,294)	78.48%	79.13%

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
Summary of Expenditures by Budget Category - Fiscal Year 1997
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	Current Budget	Historical Norm	Year-to Date Actual	Actual to Historical Norm Over (Under)	Actual %	Historical %
EDUCATIONAL AND GENERAL						
Central Services	\$1,815,096	\$1,489,427	\$1,387,423	(\$102,004)	76.44%	82.06%
Institutional Support	4,302,430	3,221,176	3,310,349	89,173	76.94%	74.87%
Student Services	376,516	280,951	274,382	(6,569)	72.87%	74.62%
Staff Benefits	1,475,875	904,362	406,418	(497,944)	27.54%	61.28%
Library	1,624,471	1,257,923	1,292,617	34,694	79.57%	77.44%
Research Enhancement	84,646	66,396	62,128	(4,268)	73.40%	78.44%
Continuing Education	15,603	11,650	11,816	166	75.73%	74.67%
Physical Plant Operations	4,416,525	3,212,333	3,121,884	(90,449)	70.69%	72.73%
Utilities	5,662,439	3,165,710	3,812,217	646,507	67.32%	55.91%
School of Medicine - Lubbock	14,755,060	10,969,589	10,604,712	(364,877)	71.87%	74.34%
School of Medicine - Amarillo	2,964,556	2,179,279	2,178,720	(559)	73.49%	73.51%
School of Medicine - Odessa	1,392,520	1,027,934	1,014,570	(13,364)	72.86%	73.82%
School of Medicine - El Paso	5,015,089	3,696,356	3,690,481	(5,875)	73.59%	73.70%
Organized Activities	3,049,972	2,307,687	2,267,743	(39,944)	74.35%	75.66%
Border Health Care - Academic Expansion	3,897,619	2,774,112	2,765,636	(8,476)	70.96%	71.17%
Border Health Care - Academic Operations	414,850	284,987	291,352	6,365	70.23%	68.70%
Border Health Care - Resident Support	413,989	315,487	313,080	(2,407)	75.63%	76.21%
South Texas Border Region Health Pro. Ed.	1,366,856	1,093,150	993,028	(100,122)	72.65%	79.98%
School of Nursing	2,631,243	2,018,840	1,999,361	(19,479)	75.99%	76.73%
School of Allied Health - Lubbock	2,028,535	1,428,111	1,491,924	63,813	73.55%	70.40%
School of Allied Health - Amarillo	575,416	360,923	402,301	41,378	69.91%	62.72%
School of Allied Health - Odessa	132,296	97,017	97,739	722	73.88%	73.33%
Graduate School for Biomedical Education	832,571	596,961	520,363	(76,598)	62.50%	71.70%
School of Pharmacy	2,099,320	1,311,892	1,525,990	214,098	72.69%	62.49%
Special Items	5,278,067	3,823,379	2,738,317	(1,085,062) (2)	51.88%	72.44%
Advanced Technology/Advanced Research	426,177	308,774	156,786	(151,988)	36.79%	72.45%
HEAF	7,735,000	5,935,146	4,558,192	(1,376,954) (3)	58.93%	76.73%
TOTAL EDUCATIONAL AND GENERAL	\$74,782,737	\$54,139,552	\$51,289,529	(\$2,850,023)	68.58%	72.40%
DESIGNATED						
Designated	\$104,652,096	\$80,864,534	\$65,516,561	(\$15,347,973) (4)	62.60%	77.27%
TOTAL DESIGNATED	\$104,652,096	\$80,864,534	\$65,516,561	(\$15,347,973)	62.60%	77.27%
AUXILIARY ENTERPRISES						
Auxiliary Funds	\$414,538	\$292,163	\$239,101	(\$53,062)	57.68%	70.48%
TOTAL AUXILIARY ENTERPRISES	\$414,538	\$292,163	\$239,101	(\$53,062)	57.68%	70.48%
CURRENT RESTRICTED						
CONTRACTS, GRANTS AND GENERAL						
Federal Programs	\$3,154,743	\$2,323,145	\$1,959,944	(\$363,201)	62.13%	73.64%
State Programs	75,104,042	48,646,802	44,339,144	(4,307,658) (5)	59.04%	64.77%
Local Programs	26,990,162	19,945,438	20,139,801	194,363	74.62%	73.90%
Private Programs	7,118,090	4,359,254	4,548,678	189,424	63.90%	61.24%
TOTAL CONTRACTS, GRANTS & GENERAL	\$112,367,037	\$75,274,639	\$70,987,567	(\$4,287,072)	63.17%	66.99%
STUDENT AID						
Federal Financial Aid	\$263,857	\$125,557	\$149,058	\$23,501	56.49%	47.59%
Scholarships and Fellowships	139,674	40,429	58,684	18,255	42.01%	28.95%
TOTAL STUDENT AID	\$403,531	\$165,986	\$207,742	\$41,756	51.48%	41.13%
TOTAL CURRENT RESTRICTED	\$112,770,568	\$75,440,625	\$71,195,309	(\$4,245,316)	63.13%	66.90%
TOTAL EXPENDITURES	\$292,619,939	\$210,736,874	\$188,240,500	(\$22,496,374)	64.33%	72.02%

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
Explanation of Revenue and Expenditure Variances - Fiscal Year 1997
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Information Items
August 22, 1997

VARIANCES ARE DUE TO:

REVENUES:

- (1) Designated funds were received at a level below the authorized budget.
 - Lubbock MPIP revenues were \$2,285,566 less than the authorized budget.
 - Amarillo MPIP revenues were \$415,418 less than the authorized budget.
 - El Paso MPIP revenues were \$1,454,404 less than the authorized budget.

EXPENDITURES:

- (2) Special Items include \$1,609,331 for the Odessa Medical Education and Health Clinic of which only \$228,717 had been expended as of the third quarter.
- (3) HEAF includes \$2,000,000 to fund the Odessa Clinic of which none had been expended as of the third quarter.
- (4) Designated funds were expended at a level below the authorized budget.
 - Lubbock MPIP expenditures were \$2,715,764 less than the authorized budget.
 - Amarillo MPIP expenditures were \$1,386,207 less than the authorized budget.
 - El Paso MPIP expenditures were \$3,327,281 less than the authorized budget.
 - General Designated expenditures were \$4,777,707 less than the authorized budget.
- (5) TDCJ funds were not expended at the same level at which they were received.

	05/31/97
TDCJ Revenues	\$49,225,239
TDCJ Expenses	<u>\$44,286,042</u>
	\$4,939,197

Texas Tech University Health Sciences Center
 Budget Adjustments for Research
 Contracts, Grants, and Sponsored Projects
 4/1/97 - 6/30/97

Activity	Source of Funds		Expense	Remarks
	Other	Income		
INFORMATION ITEMS: NEW AWARDS EXCEEDING \$100,000 National Institute of Health Pharmacology - Lubbock Total New Awards Exceeding \$100,000		126,066	126,066	To study the mechanism by which the transport of neurotransmitters is involved in processing neural information and memory and how this may contribute to human disease when it malfunctions.
		126,066	126,066	

OFFICE OF DEVELOPMENT
Gifts and Grants as of June 30, 1997
and
Gifts and Grants as of June 30, 1996

Board Minutes
Information Items
August 22, 1997

	Fiscal Year 1997	Fiscal Year 1996
Texas Tech University		
September 30	\$ 557,556.73	\$ 363,144.43
October 31	578,393.15	359,477.13
November 30	603,418.85	380,162.17
December 31	1,165,453.92	979,165.58
January 31	1,283,453.68	977,382.26
February 28	320,960.60	449,431.34
March 31	523,445.80	611,459.46
April 30	451,490.37	735,560.65
May 31	489,765.65	530,738.54
June 30	5,723,068.67	244,059.04
Total University	<u>\$ 11,697,007.42</u>	<u>\$ 5,630,580.60</u>
Texas Tech Foundation, Inc.		
September 30	\$ 271,778.21	\$ 293,343.64
October 31	560,119.76	258,418.42
November 30	301,681.62	178,791.66
December 31	2,514,723.31	1,745,900.50
January 31	349,284.13	310,006.46
February 28	323,076.90	176,552.92
March 31	130,668.68	93,899.13
April 30	338,546.90	1,034,302.11
May 31	368,723.02	203,897.32
June 30	476,782.68	212,295.66
Total Foundation	<u>\$ 5,635,385.21</u>	<u>\$ 4,507,407.82</u>
Texas Tech University Health Sciences Center		
September 30	\$ 83,293.36	\$ 66,005.40
October 31	18,506.10	37,798.83
November 30	66,242.00	35,690.00
December 31	418,675.89	54,896.00
January 31	76,340.00	112,760.26
February 28	25,143.03	36,693.43
March 31	38,482.53	25,642.86
April 30	98,539.00	367,369.36
May 31	99,758.00	14,340.00
June 30	68,111.02	91,120.30
Total Health Sciences Center	<u>\$ 993,090.93</u>	<u>\$ 842,316.44</u>
Grand Totals	<u><u>\$ 18,325,483.56</u></u>	<u><u>\$ 10,980,304.86</u></u>

Prepared in the Office of Development
July 24, 1997

TEXAS TECH UNIVERSITY
TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
Lubbock, Texas

Facilities Committee

FOR BOARD INFORMATION

TEXAS TECH UNIVERSITY

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 - b. Ajax Roofing, Co., Inc. – Gaston Hall Reroof, Contract No. 97-1564 24
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 - e. Parkhill, Smith & Cooper, Inc. – Library Renovation Architectural Services, Contract No. 97-1512, Amendment No. 1 (August 20, 1996, BOR Item M144). 36
 - f. Yeadon Fabric Domes, Inc. – Aquatic Center/Fabric Roof Replacement, Contract No. 97-1548. 42
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TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER

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Air Structures American Technologies, Inc.
- Athletic Training Center/Fabric Roof Replacement,
Contract No. 97-1542

CONSTRUCTION SERVICES

Contract No. 97-1542
Account Number 3702-42-1615

AGREEMENT

THIS AGREEMENT, made this 24th day of February in the year Nineteen Hundred Ninety Seven.

BY AND BETWEEN

Texas Tech University, Lubbock, Lubbock County, Texas, the Owner, acting herein by and through Donald R. Haragan, President, and Air Structures American Technologies Inc., Lubbock, Texas, the Contractor.

The Owner and the Contractor agree as set forth below:

ARTICLE 1

THE WORK

The Contractor shall perform all the Work required by the Contract Documents for

ATHLETIC TRAINING CENTER (ATC) FABRIC ROOF REPLACEMENT

ARTICLE 2

CONTRACT SUM

The Owner shall pay the Contractor for the performance of the Work as provided in the Conditions of the Contract, in current funds, the Contract Sum of

Three Hundred Seventy Thousand One Hundred Forty Five and no/100's Dollars
(Written Amount)

\$370,145.00
(Figures)

The above bid price is divided into \$ 188,000.00 dollars for Materials (to be incorporated into the Work) and \$ 182,145.00 dollars for Labor (including any materials not incorporated into the Work, such as formwork and rentals used in the process of installation). This separation of the contract price into Materials and Labor is required in order for the successful bidder to be able to purchase free of state sales tax the materials to be incorporated into the Work.

ARTICLE 3

TIME OF COMMENCEMENT AND COMPLETION

The Work to be performed under this Contract shall be commenced on or after a date to be specified in a written "Notice to Proceed" from the Owner and completed on or before May 23, 1997.

The time in the contract for the completion of the work is an essential element of the contract, and it is mutually agreed that the Owner will suffer financial damages in an amount not now possible to ascertain if this work is not completed on schedule, and in view of these facts, it is agreed that the Owner will withhold from the Contractor, as liquidated damages and not as a penalty, the sum of \$ 1,500.00 per day for each calendar day that the work remain uncompleted beyond the date specified in the Notice to Proceed, or as extended by change order by the Owner.

ARTICLE 4

PROGRESS PAYMENTS

Based upon Applications for Payment submitted by the Contractor, the Owner shall make progress payments on account of the Contract Sum to the Contractor as provided in the conditions of the Contract as follows:

Once each calendar month, the Owner shall make a progress payment to the Contractor on the basis of a duly certified and approved estimate of the Work performed during the preceding calendar month under this Contract; but to insure the proper performance of this Contract, the Owner shall retain five percent (5%) of the amount of each estimate until final completion and acceptance of all Work covered by this Contract: Provided that the Owner, at any time after fifty percent (50%) of the Work has been completed, finds that satisfactory progress is being made, may make any of the remaining progress payments in full; and, provided further, that upon completion and acceptance of each separate building, public work or other division of the Contract on which the price is stated separately in the Contract, payment may be made in full, including retained percentages thereon less authorized deductions. It shall be the Owner's option that upon "substantial completion" of the entire Work, he may increase the total payments to ninety-five percent (95%) of the Contract price provided satisfactory evidence is furnished that all payrolls, material bills and other indebtedness connected with the Work have been paid.

In addition, and in connection with any progress payment, if the Owner requests same, he shall be furnished manifest proof of any Subcontractors' actual fiscal account as related to the actual Subcontract value; and such account shall be in a form as requested by the Owner.

Final payment, constituting the entire unpaid balance of the Contract Sum, shall be paid by the Owner to the Contractor thirty (30) days after Substantial Completion of the Work unless otherwise stipulated in the Certificate of Substantial Completion, provided the Work has then been completed, the Contract fully performed and a final Certificate for Payment has been issued by the Contractor and approved by the Architect.

ARTICLE 5

THE CONTRACT DOCUMENTS

The Contract Documents consist of this Agreement, Conditions of the Contract (General, Supplementary and other conditions), Drawings, Specifications, all Addenda issued prior to execution of this Agreement and all Modifications issued subsequent thereto. These form the Contract, and all are as fully a part of the Contract as if attached to this Agreement or repeated herein.

The Owner reserves the right to do work and to award other contracts in connection with other portions of the project.

ARTICLE 6

PAYMENT AND PERFORMANCE BONDS

It is hereby agreed that a Performance Bond and a Payment Bond, each of 100% of the contract sum, are included herein and made a part of this contract.

ARTICLE 7

OWNER'S REPRESENTATIVE

The Owner hereby designates the President of Texas Tech University or the person designated as acting President in his absence, as its duly authorized and designated representative as that term is used and appears in this Agreement to act for and on behalf of Owner. This designation shall remain in full force and effect until and unless Contractor is otherwise notified in writing by Owner and directed to Contractor at his address.

Venue shall be in Lubbock County, Texas.

IN WITNESS WHEREOF, the parties have hereunto set their hands.

OWNER
TEXAS TECH UNIVERSITY

CONTRACTOR
AIR STRUCTURES AMERICAN
TECHNOLOGIES INC.

By: _____
Donald R. Haragan
President

By: _____

Date: 3/15/97

Date: 4/18/97

REVIEWED FOR FISCAL IMPLICATIONS

Jim Brundjes, Vice President *JB*
for Fiscal Affairs

Date: 3/19/97

REVIEWED FOR FORM

Pat Campbell, Vice Chancellor
and General Counsel

Date: 3/19/97

4:04

CONSTRUCTION SERVICES

Contract No. 97-1564
Account Number 3702-42-1617

AGREEMENT

THIS AGREEMENT, made this 12th day of May in the year Nineteen Hundred Ninety Seven.

BY AND BETWEEN

Texas Tech University, Lubbock, Lubbock County, Texas, the Owner, acting herein by and through Donald R. Haragan, President, and Ajax Roofing Co., Inc., Lubbock, Texas, the Contractor.

The Owner and the Contractor agree as set forth below:

ARTICLE 1

THE WORK

The Contractor shall perform all the Work required by the Contract Documents for

GASTON HALL REROOF - BASE BID, ALTERNATE NO. 1
AND A REVISED CONTINGENCY ALLOWANCE OF \$7,500.00

ARTICLE 2

CONTRACT SUM

The Owner shall pay the Contractor for the performance of the Work as provided in the Conditions of the Contract, in current funds, the Contract Sum of

One Hundred Three Thousand Three Hundred Sixty Two and no/100's Dollars
(Written Amount)

\$103,362.00
(Figures)

The above bid price is divided into \$72,353.40 dollars for Materials (to be incorporated into the Work) and \$31,008.60 dollars for Labor (including any materials not incorporated into the Work, such as formwork and rentals used in the process of installation). This separation of the contract price into Materials and Labor is required in order for the successful bidder to be able to purchase free of state sales tax the materials to be incorporated into the Work.

ARTICLE 3

TIME OF COMMENCEMENT AND COMPLETION

The Work to be performed under this Contract shall be commenced on or after a date to be specified in a written "Notice to Proceed" from the Owner and completed by Friday, August 1, 1997.

The time in the contract for the completion of the work is an essential element of the contract, and it is mutually agreed that the Owner will suffer financial damages in an amount not now possible to ascertain if this work is not completed on schedule, and in view of these facts, it is agreed that the Owner will withhold from the Contractor, as liquidated damages and not as a penalty, the sum of \$1,000.00 per day for each calendar day that the work remain uncompleted beyond the date specified in the Notice to Proceed, or as extended by change order by the Owner.

ARTICLE 4

PROGRESS PAYMENTS

Based upon Applications for Payment submitted by the Contractor, the Owner shall make progress payments on account of the Contract Sum to the Contractor as provided in the conditions of the Contract as follows:

Once each calendar month, the Owner shall make a progress payment to the Contractor on the basis of a duly certified and approved estimate of the Work performed during the preceding calendar month under this Contract; but to insure the proper performance of this Contract, the Owner shall retain five percent (5%) of the amount of each estimate until final completion and acceptance of all Work covered by this Contract: Provided that the Owner, at any time after fifty percent (50%) of the Work has been completed, finds that satisfactory progress is being made, may make any of the remaining progress payments in full; and, provided further, that upon completion and acceptance of each separate building, public work or other division of the Contract on which the price is stated separately in the Contract, payment may be made in full, including retained percentages thereon less authorized deductions. It shall be the Owner's option that upon "substantial completion" of the entire Work, he may increase the total payments to ninety-five percent (95%) of the Contract price provided satisfactory evidence is furnished that all payrolls, material bills and other indebtedness connected with the Work have been paid.

In addition, and in connection with any progress payment, if the Owner requests same, he shall be furnished manifest proof of any Subcontractors' actual fiscal account as related to the actual Subcontract value; and such account shall be in a form as requested by the Owner.

Final payment, constituting the entire unpaid balance of the Contract Sum, shall be paid by the Owner to the Contractor thirty (30) days after Substantial Completion of the Work unless otherwise stipulated in the Certificate of Substantial Completion, provided the Work has then been completed, the Contract fully performed and a final Certificate for Payment has been issued by the Contractor and approved by the Architect.

ARTICLE 5

THE CONTRACT DOCUMENTS

The Contract Documents consist of this Agreement, Conditions of the Contract (General, Supplementary and other conditions), Drawings, Specifications, all Addenda issued prior to execution of this Agreement and all Modifications issued subsequent thereto. These form the Contract, and all are as fully a part of the Contract as if attached to this Agreement or repeated herein.

The Owner reserves the right to do work and to award other contracts in connection with other portions of the project.

ARTICLE 6

PAYMENT AND PERFORMANCE BONDS

It is hereby agreed that a Performance Bond and a Payment Bond, each of 100% of the contract sum, are included herein and made a part of this contract.

ARTICLE 7

OWNER'S REPRESENTATIVE

The Owner hereby designates the President of Texas Tech University or the person designated as acting President in his absence, as its duly authorized and designated representative as that term is used and appears in this Agreement to act for and on behalf of Owner. This designation shall remain in full force and effect until and unless Contractor is otherwise notified in writing by Owner and directed to Contractor at his address.

Venue shall be in Lubbock County, Texas.

IN WITNESS WHEREOF, the parties have hereunto set their hands.

OWNER
TEXAS TECH UNIVERSITY

CONTRACTOR
AJAX ROOFING CO., INC.

By: _____
Donald R. Haragan
President

By: _____

Date: 5/23/97

Date: 6-3-97

REVIEWED FOR FISCAL IMPLICATIONS

Jim Brunjes, Vice President
for Fiscal Affairs

Date: 5/21/97

REVIEWED FOR FORM

Pat Campbell, Vice Chancellor
and General Counsel

Date: 5-21-97

4:04

CONSTRUCTION SERVICES

Contract No. 97-1550
Account Number 0225-42-1616

AGREEMENT

THIS AGREEMENT, made this 24th day of March in the year Nineteen Hundred Ninety Seven.

BY AND BETWEEN

Texas Tech University, Lubbock, Lubbock County, Texas, the Owner, acting herein by and through Donald R. Haragan, President, and Hub City Pavers, Inc., Lubbock, Texas, the Contractor.

The Owner and the Contractor agree as set forth below:

ARTICLE 1

THE WORK

The Contractor shall perform all the Work required by the Contract Documents for

CAMPUS WATER METERS REPLACEMENT- PHASE II BASE BID AND ALTERNATE #1

ARTICLE 2

CONTRACT SUM

The Owner shall pay the Contractor for the performance of the Work as provided in the Conditions of the Contract, in current funds, the Contract Sum of

One Hundred Twenty Two Thousand Two Hundred Twenty Three and no/100's Dollars
(Written Amount)

\$122,223.00
(Figures)

The above bid price is divided into \$ 51,984.00 dollars for Materials (to be incorporated into the Work) and \$ 70,239.00 dollars for Labor (including any materials not incorporated into the Work, such as formwork and rentals used in the process of installation). This separation of the contract price into Materials and Labor is required in order for the successful bidder to be able to purchase free of state sales tax the materials to be incorporated into the Work.

ARTICLE 3

TIME OF COMMENCEMENT AND COMPLETION

The Work to be performed under this Contract shall be commenced on or after a date to be specified in a written "Notice to Proceed" from the Owner and completed within 180 days.

The time in the contract for the completion of the work is an essential element of the contract, and it is mutually agreed that the Owner will suffer financial damages in an amount not now possible to ascertain if this work is not completed on schedule, and in view of these facts, it is agreed that the Owner will withhold from the Contractor, as liquidated damages and not as a penalty, the sum of \$ 750.00 per day for each calendar day that the work remain uncompleted beyond the date specified in the Notice to Proceed, or as extended by change order by the Owner.

ARTICLE 4

PROGRESS PAYMENTS

Based upon Applications for Payment submitted by the Contractor, the Owner shall make progress payments on account of the Contract Sum to the Contractor as provided in the conditions of the Contract as follows:

Once each calendar month, the Owner shall make a progress payment to the Contractor on the basis of a duly certified and approved estimate of the Work performed during the preceding calendar month under this Contract; but to insure the proper performance of this Contract, the Owner shall retain five percent (5%) of the amount of each estimate until final completion and acceptance of all Work covered by this Contract: Provided that the Owner, at any time after fifty percent (50%) of the Work has been completed, finds that satisfactory progress is being made, may make any of the remaining progress payments in full; and, provided further, that upon completion and acceptance of each separate building, public work or other division of the Contract on which the price is stated separately in the Contract, payment may be made in full, including retained percentages thereon less authorized deductions. It shall be the Owner's option that upon "substantial completion" of the entire Work, he may increase the total payments to ninety-five percent (95%) of the Contract price provided satisfactory evidence is furnished that all payrolls, material bills and other indebtedness connected with the Work have been paid.

In addition, and in connection with any progress payment, if the Owner requests same, he shall be furnished manifest proof of any Subcontractors' actual fiscal account as related to the actual Subcontract value; and such account shall be in a form as requested by the Owner.

Final payment, constituting the entire unpaid balance of the Contract Sum, shall be paid by the Owner to the Contractor thirty (30) days after Substantial Completion of the Work unless otherwise stipulated in the Certificate of Substantial Completion, provided the Work has then been completed, the Contract fully performed and a final Certificate for Payment has been issued by the Contractor and approved by the Project Manager.

ARTICLE 5

THE CONTRACT DOCUMENTS

The Contract Documents consist of this Agreement, Conditions of the Contract (General, Supplementary and other conditions), Drawings, Specifications, all Addenda issued prior to execution of this Agreement and all Modifications issued subsequent thereto. These form the Contract, and all are as fully a part of the Contract as if attached to this Agreement or repeated herein.

The Owner reserves the right to do work and to award other contracts in connection with other portions of the project.

ARTICLE 6

PAYMENT AND PERFORMANCE BONDS

It is hereby agreed that a Performance Bond and a Payment Bond, each of 100% of the contract sum, are included herein and made a part of this contract.

ARTICLE 7

OWNER'S REPRESENTATIVE

The Owner hereby designates the President of Texas Tech University or the person designated as acting President in his absence, as its duly authorized and designated representative as that term is used and appears in this Agreement to act for and on behalf of Owner. This designation shall remain in full force and effect until and unless Contractor is otherwise notified in writing by Owner and directed to Contractor at his address.

Venue shall be in Lubbock County, Texas.

IN WITNESS WHEREOF, the parties have hereunto set their hands.

OWNER
TEXAS TECH UNIVERSITY

CONTRACTOR
HUB CITY PAVERS, INC.

By: _____
Donald R. Haragan
President

Date: 4/3/97

By: _____

Date: 4/9/97

REVIEWED FOR FISCAL IMPLICATIONS

Jim Brunjes, Vice President *JB*
for Fiscal Affairs

Date: 4/2/97

REVIEWED FOR FORM

Pat Campbell, Vice Chancellor
and General Counsel

Date: 4-1-97

4:04

CONSTRUCTION SERVICES

Contract No. 97-1556
Account Number 0225-42-1606
Account Number 3704-42-1607

AGREEMENT

THIS AGREEMENT, made this 8th day of April in the year Nineteen Hundred Ninety Seven.

BY AND BETWEEN

Texas Tech University, Lubbock, Lubbock County, Texas, the Owner, acting herein by and through Donald B. Haragan, President, and Knox, Gailey & Meador, Inc., Lubbock, Texas, the Contractor.

The Owner and the Contractor agree as set forth below:

ARTICLE 1

THE WORK

The Contractor shall perform all the Work required by the Contract Documents for

AGRICULTURE EDUCATION AND COMMUNICATION DISTANCE LEARNING ROOM

ARTICLE 2

CONTRACT SUM

The Owner shall pay the Contractor for the performance of the Work as provided in the Conditions of the Contract, in current funds, the Contract Sum of

One Hundred Forty Four Thousand Eight Hundred and no/100's Dollars
(Written Amount)

\$144,800.00
(Figures)

The above bid price is divided into \$ 56,400.00 dollars for Materials (to be incorporated into the Work) and \$ 88,400.00 dollars for Labor (including any materials not incorporated into the Work, such as formwork and rentals used in the process of installation). This separation of the contract price into Materials and Labor is required in order for the successful bidder to be able to purchase free of state sales tax the materials to be incorporated into the Work.

ARTICLE 3

TIME OF COMMENCEMENT AND COMPLETION

The Work to be performed under this Contract shall be commenced on or after a date to be specified in a written "Notice to Proceed" from the Owner and completed within 110 consecutive calendar days.

The time in the contract for the completion of the work is an essential element of the contract, and it is mutually agreed that the Owner will suffer financial damages in an amount not now possible to ascertain if this work is not completed on schedule, and in view of these facts, it is agreed that the Owner will withhold from the Contractor, as liquidated damages and not as a penalty, the sum of \$ 750.00 per day for each calendar day that the work remain uncompleted beyond the date specified in the Notice to Proceed, or as extended by change order by the Owner.

ARTICLE 4

PROGRESS PAYMENTS

Based upon Applications for Payment submitted by the Contractor, the Owner shall make progress payments on account of the Contract Sum to the Contractor as provided in the conditions of the Contract as follows:

Once each calendar month, the Owner shall make a progress payment to the Contractor on the basis of a duly certified and approved estimate of the Work performed during the preceding calendar month under this Contract; but to insure the proper performance of this Contract, the Owner shall retain five percent (5%) of the amount of each estimate until final completion and acceptance of all Work covered by this Contract: Provided that the Owner, at any time after fifty percent (50%) of the Work has been completed, finds that satisfactory progress is being made, may make any of the remaining progress payments in full; and, provided further, that upon completion and acceptance of each separate building, public work or other division of the Contract on which the price is stated separately in the Contract, payment may be made in full, including retained percentages thereon less authorized deductions. It shall be the Owner's option that upon "substantial completion" of the entire Work, he may increase the total payments to ninety-five percent (95%) of the Contract price provided satisfactory evidence is furnished that all payrolls, material bills and other indebtedness connected with the Work have been paid.

In addition, and in connection with any progress payment, if the Owner requests same, he shall be furnished manifest proof of any Subcontractors' actual fiscal account as related to the actual Subcontract value; and such account shall be in a form as requested by the Owner.

Final payment, constituting the entire unpaid balance of the Contract Sum, shall be paid by the Owner to the Contractor thirty (30) days after Substantial Completion of the Work unless otherwise stipulated in the Certificate of Substantial Completion, provided the Work has then been completed, the Contract fully performed and a final Certificate for Payment has been issued by the Contractor and approved by the Architect.

ARTICLE 5

THE CONTRACT DOCUMENTS

The Contract Documents consist of this Agreement, Conditions of the Contract (General, Supplementary and other conditions), Drawings, Specifications, all Addenda issued prior to execution of this Agreement and all Modifications issued subsequent thereto. These form the Contract, and all are as fully a part of the Contract as if attached to this Agreement or repeated herein.

The Owner reserves the right to do work and to award other contracts in connection with other portions of the project.

ARTICLE 6

PAYMENT AND PERFORMANCE BONDS

It is hereby agreed that a Performance Bond and a Payment Bond, each of 100% of the contract sum, are included herein and made a part of this contract.

ARTICLE 7

OWNER'S REPRESENTATIVE

The Owner hereby designates the President of Texas Tech University or the person designated as acting President in his absence, as its duly authorized and designated representative as that term is used and appears in this Agreement to act for and on behalf of Owner. This designation shall remain in full force and effect until and unless Contractor is otherwise notified in writing by Owner and directed to Contractor at his address.

Venue shall be in Lubbock County, Texas.

IN WITNESS WHEREOF, the parties have hereunto set their hands.

OWNER
TEXAS TECH UNIVERSITY

CONTRACTOR
KNOX, GAILEY & MEADOR, INC.

By: _____
Donald R. Haragan
President

Date: 4/30/97

By: _____

Date: 5/7/97

REVIEWED FOR FISCAL IMPLICATIONS

Jim Brunjes, Vice President
for Fiscal Affairs

Date: 4/29/97

REVIEWED FOR FORM

Pat Campbell, Vice Chancellor
and General Counsel

Date: 4-29-97

4:04

Contract No. 97-1512/1

AMENDMENT NO. 1 TO CONTRACT 97-1512

Parkhill, Smith & Cooper and Texas Tech University
Architectural Services - Library Renovation

The Agreement between Parkhill, Smith & Cooper and Texas Tech University, dated November 18th, 1996, is amended as follows:

COMPENSATION AND PAYMENT -

...increase the Contract Sum by \$180,765.00
making the total contract amount \$862,795.00

All other provisions of the Agreement will remain as written and all parties do hereby ratify and confirm such terms, stipulations and conditions therein set forth.

IN WITNESS THEREOF, the parties hereto have executed this amendment in quadruplicate, each of which shall be considered an original by their duly appointed officers, this the 30th day of May, 1997.

Venue shall be in Lubbock County, Texas.

IN WITNESS THEREOF, the parties have hereunto set their hands.

TEXAS (TECH) UNIVERSITY

PARKHILL, SMITH & COOPER

By: _____
Donald R. Haragan, President

By: _____

Date: 6/16/97

Date: 6/23/97

REVIEWED FOR FISCAL IMPLICATIONS

By: _____
Jim Brunjes, Vice President for
Fiscal Affairs

Date: 6/16/97

REVIEWED FOR FORM

By: _____
Pat Campbell, Vice Chancellor and
General Counsel

Date: 6-16-97



April 7, 1997

Mr. Gene Bals, AIA
Assistant Director
Texas Tech University
Facilities Planning and Construction
Box 42014
Lubbock, Texas 79409-2014

RE: Texas Tech Library - Interior Finishes

Dear Gene:

We are pleased to submit this proposal for additional services as an amendment to our current Contract No. 97-1512, Account #0225-42-1609, FP&C #96-07 for the Fixtures/Furnishing/Equipment for the Texas Tech University Library Renovation project. Based on our understanding of the project, we will provide the following:

Scope of Work for New Furnishings

- ❖ Provide Interior Design services related to the selection, specification, and installation of new movable furnishings (FF&E) in selected areas of the Main Campus Library on the Texas Tech University campus which are planned for renovation under this contract.
- ❖ New furnishings are anticipated to be required for the public areas of: the Ground Floor North TLTC, Ground Floor West including Reference and Mezzanine, Fifth Floor Stack, Third and Second Floors including Group Study, and the Basement including Government Documents.
- ❖ Design services related to the FF&E by Parkhill, Smith & Cooper, Inc. (PSC) with F&S Partners (F&S) as a consultant will be developed for all areas of the project simultaneously, with the architectural contract. Texas Tech University's Facilities Planning Representative (i.e. the Owner) will separate FF&E delivery and/or installation into phases if required.
- ❖ The University anticipates procurement of new FF&E by public bid or state contract. One specifications package will be developed for the publicly bid furnishings and one specifications package for the state contract purchases.
- ❖ The total FF&E budget is \$3,718,061.00 for the identified departments.
- ❖ Texas Tech University's Facilities Planning Representative will handle bidding, procurement and installation.
- ❖ Services related to the Scope of Work will be provided in the phases as follows:

1. Schematic Design Phase

- Review sizes, shapes and quantities of furniture for compliance with program needs.
- Refine furniture plans and test room sizes/shapes for efficient furniture placement.
- Develop a detailed budget for new furnishings including departmental subtotals.
- Develop recommendations for furniture styles.
- Recommend items to be provided as millwork versus free-standing furniture.
- Provide preliminary information regarding power/cabling requirements of new FF&E.
- Develop a general color palette of materials for new furnishings.
- Produce a preliminary FF&E schedule relative to critical dates for FF&E procurement, fabrication, delivery, and installation.
- Develop a table-top presentation of the color palette using loose samples.
- Present the plan, budget, color palette, and schedule to TTU's Facilities.
- Planning Representative for review and approval.
- Present the plan, budget, color palette, and schedule to the Library for review and approval.

2. Design Development Phase

- Revise the furniture layout to reflect the Owner's Schematic Design comments and any changes developed during the architectural design efforts.
- Refine the color/material palette for new furnishings.
- Develop recommendations for specific manufacturers of the furnishings based on the approved submittals from the previous phase.
- Refine the budget, incorporating appropriate reuse of existing furnishings.
- Identify the new FF&E in the public areas on the furniture plans separately from the existing furnishings to be reused from the Owner's inventory.
- Review the progress of the above with TTU's Facilities Planning Representative.
- Establish details for millwork to coordinate with the approved furniture style.
- Review the architectural design developed to date for coordination with the power and cabling provisions of the FF&E.
- Update the project schedule as required.
- Prepare a table-top presentation of the FF&E including product illustrations, materials, fabrics, and finishes.
- Make a presentation of the plan, color palette, schedule & budget to TTU's Facilities Planning Representative for review and approval.
- Make a presentation of the plan, color palette, schedule and budget to the Library for review and approval.

3. Construction Document Phase

- Revise the furniture layout to reflect the Owner's Design Development comments.
- Prepare technical specifications and other documents required for the bidding and procurement of the FF&E to be publicly bid. The bidding format, separation of bids, and "front end conditions" (including general conditions, contracts, insurance, etc.) will be provided by the Owner.
- Advise the Owner of any adjustments to the previous FF&E budget indicated by changes in requirements or general market conditions.
- Prepare specifications for the procurement of state contract purchases.
- Deliver a "master set" of specifications for each of the two procurement methods for the Owner's use and duplication.

Mr. Gene Bals, AIA

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- Bidding services are to be provided by the Owner, except clarifications if required.
 - Develop installation plans for the new FF&E for the Owner's use and distribution to successful furniture Bidder(s).
 - Review the architectural construction documents for coordination with the FF&E.
4. Construction Administration/Installation Phase
- Review the installation for compliance with the contract requirements.
 - Review shop drawings supplied by FF&E vendors for fabrication of any special FF&E items.
 - Make one site visit per installation phase (up to a maximum of 3 visits) to review the completed furniture installation and develop a punch list for the successful Bidders to complete prior to the Owner's Final Acceptance.
 - Make one follow-up visit per installation phase (up to a maximum of 3 visits) to verify the vendors' completion of the punch list and advise TTU's Facilities Planning Representative of the same.
5. Additional Services not included in Basic Services
- The following work will be billed in addition to the stipulated fee if requested by the Owner.
 - If work in a specific phase of the project has been completed and approved, and the Owner requires that such work be modified and the requested revisions are inconsistent with previous approvals or instructions given by the Owner, then such services will be carried as Additional Services until such time as the project is brought back to the phase at which the change stopped the forward progress of the project.
 - Time and services expended to develop alternates requested by the Owner for the bid documents.

Scope of Work to Plan the Reuse of Existing Furnishings

- ❖ Provide limited Interior Design services related to the space planning and installation drawings for reusing existing furnishings (E FF&E) in selected areas of the Main Campus Library which are being renovated under this contract. This excludes interim FF&E locations associated with phasing.
- ❖ Existing furnishings (E FF&E) are anticipated to be used in the *selected staff* areas of: the Ground Floor West (including Reference, InterLibrary Loan, Circulation, and Mezzanine), Fifth Floor Stack, Third and Second Floors, and the Basement and in the *selected public* areas of the Main Campus Library on the Texas Tech University campus which are being renovated under this contract.
- ❖ Texas Tech University will inventory and otherwise identify the furniture to be reused. PSC will use this inventory as the quantitative and qualitative basis for their work.
- ❖ Services related to the Scope of Work will be provided in the phases as follows:
 1. Schematic Design Phase:
 - Review the inventory provided by the Owner. While at the site for other purposes, make a site inspection of the existing furniture.

Mr. Gene Bals, AIA

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- Review architectural plans for integration of E FF&E (existing furnishings).
 - Participate in architectural Room Data Sheet meetings with the Users in early April 1997 to determine the functional requirements of each area.
 - Confirm the feasibility of integrating or swapping furniture between departments.
 - Develop preliminary information regarding power/cabling coordination.
 - Develop schematic furniture layouts for the designated areas.
 - Review the schematic plan with TTU's Facilities Planning Representative.
 - Make a presentation of the schematic plan to the Library Users for review and approval.
2. Design Development Phase:
- Revise furniture layout to reflect the Owner's Schematic Design comments and any changes developed during the architectural design efforts.
 - Review the schematic plan with TTU's Facilities Planning Representative.
 - Make a presentation of the schematic plan to the Library Users for review and approval.
 - Revise furniture layout a second time if required to reflect changes requested by the Owner.
 - Review the schematic plan with TTU's Facilities Planning Representative.
 - Submit the schematic plan to the Library Users for review and approval.
 - Review the architectural design developed to date for coordination with the power and cabling provisions of the FF&E.
3. Construction Document Phase:
- Document the approved layouts to reflect the final placement of the existing furniture to be reused.
 - Code the layouts to reference the Owner's inventory.
 - Develop elevations for the "systems" furniture to illustrate the placement of shelving, work surfaces, lights, etc.
4. Additional services not included in Basic Services
- The following work will be billed in addition to the stipulated fee if requested by the Owner.
 - If work in a specific phase of the project has been completed and approved, and the Owner requires that such work be modified and the requested revisions are inconsistent with previous approvals or instructions given by the Owner, then such services will be carried as Additional Services until such time as the project is brought back to the phase at which the change stopped the forward progress of the project.

Fee

- ❖ The areas involved in the above Scope of Work total approximately 150,700 SF. We propose to furnish the above listed services for a \$180,765.00 lump sum fee.
- ❖ Billings will be made monthly against the following percentage by Phase:

Mr. Gene Bals, AIA

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Schematic Design	15%	of total fee
Design Development	25%	of total fee
Construction Documents	35%	of total fee
Bidding	5%	of total fee
Construction Administration	<u>20%</u>	<u>of total fee</u>
Total Fee	100%	

- ❖ Additional Services will be billed on a salary times multiplier basis as provided in the A/E contract.
- ❖ Billings will be made on a monthly basis.

Please indicate your approval by signing and returning one copy of this proposed contract amendment.

Sincerely,

PARKHILL, SMITH & COOPER, INC.

Approved for,

TEXAS TECH UNIVERSITY

By _____
Mary K. Criles, AIA
Corporate Associate

Name: Donald R. Haragan
Title: President

MKC/slm

IN DUPLICATE

cc: Mr. Ron Shaw, F&S Partners
Ms. Theresa Drewell, TTU FP&C
File

CONSTRUCTION SERVICES

Contract No. 97-1548
Account Number 3702-42-1569

AGREEMENT

THIS AGREEMENT, made this 14th day of March in the year Nineteen Hundred Ninety Seven.

BY AND BETWEEN

Texas Tech University, Lubbock, Lubbock County, Texas, the Owner, acting herein by and through Donald B. Haragan, President, and Yeadon Fabric Domes, Inc., St. Paul, Minnesota, the Contractor.

The Owner and the Contractor agree as set forth below:

ARTICLE 1

THE WORK

The Contractor shall perform all the Work required by the Contract Documents for

AQUATIC CENTER FABRIC ROOF REPLACEMENT
BASE BID, ALTERNATE #1 AND ALTERNATE #3

ARTICLE 2

CONTRACT SUM

The Owner shall pay the Contractor for the performance of the Work as provided in the Conditions of the Contract, in current funds, the Contract Sum of

One Hundred Seventy Three Thousand Four Hundred Seventy Two and 28/100's Dollars

(Written Amount)

\$173,472.28

(Figures)

163,172.28

The above bid price is divided into \$ 163,172.28 dollars for Materials (to be incorporated into the Work) and \$ 12,300.00 dollars for Labor (including any materials not incorporated into the Work, such as formwork and rentals used in the process of installation). This separation of the contract price into Materials and Labor is required in order for the successful bidder to be able to purchase free of state sales tax the materials to be incorporated into the Work.

ARTICLE 3

TIME OF COMMENCEMENT AND COMPLETION

The Work to be performed under this Contract shall be commenced on or after a date to be specified in a written "Notice to Proceed" from the Owner and completed as follows:

- (a) Fabrication and delivery of fabric membrane on or before July 31, 1997
- (b) Installation of new fabric roof on or before October 6, 1997

The time in the contract for the completion of the work is an essential element of the contract, and it is mutually agreed that the Owner will suffer financial damages in an amount not now possible to ascertain if this work is not completed on schedule, and in view of these facts, it is agreed that the Owner will withhold from the Contractor, as liquidated damages and not as a penalty, the sum of \$ 500.00 per day for each calendar day that the work remain uncompleted beyond the date specified in the Notice to Proceed, or as extended by change order by the Owner.

ARTICLE 4

PROGRESS PAYMENTS

Based upon Applications for Payment submitted by the Contractor, the Owner shall make progress payments on account of the Contract Sum to the Contractor as provided in the conditions of the Contract as follows:

Once each calendar month, the Owner shall make a progress payment to the Contractor on the basis of a duly certified and approved estimate of the Work performed during the preceding calendar month under this Contract; but to insure the proper performance of this Contract, the Owner shall retain five percent (5%) of the amount of each estimate until final completion and acceptance of all Work covered by this Contract: Provided that the Owner, at any time after fifty percent (50%) of the Work has been completed, finds that satisfactory progress is being made, may make any of the remaining progress payments in full; and, provided further, that upon completion and acceptance of each separate building, public work or other division of the Contract on which the price is stated separately in the Contract, payment may be made in full, including retained percentages thereon less authorized deductions. It shall be the Owner's option that upon "substantial completion" of the entire Work, he may increase the total payments to ninety-five percent (95%) of the Contract price provided satisfactory evidence is furnished that all payrolls, material bills and other indebtedness connected with the Work have been paid.

In addition, and in connection with any progress payment, if the Owner requests same, he shall be furnished manifest proof of any Subcontractors' actual fiscal account as related to the actual Subcontract value; and such account shall be in a form as requested by the Owner.

Final payment, constituting the entire unpaid balance of the Contract Sum, shall be paid by the Owner to the Contractor thirty (30) days after Substantial Completion of the Work unless otherwise stipulated in the Certificate of Substantial Completion, provided the Work has then been completed, the Contract fully performed and a final Certificate for Payment has been issued by the Contractor and approved by the Architect.

ARTICLE 5

THE CONTRACT DOCUMENTS

The Contract Documents consist of this Agreement, Conditions of the Contract (General, Supplementary and other conditions), Drawings, Specifications, all Addenda issued prior to execution of this Agreement and all Modifications issued subsequent thereto. These form the Contract, and all are as fully a part of the Contract as if attached to this Agreement or repeated herein.

The Owner reserves the right to do work and to award other contracts in connection with other portions of the project.

ARTICLE 6

PAYMENT AND PERFORMANCE BONDS

It is hereby agreed that a Performance Bond and a Payment Bond, each of 100% of the contract sum, are included herein and made a part of this contract.

ARTICLE 7

OWNER'S REPRESENTATIVE

The Owner hereby designates the President of Texas Tech University or the person designated as acting President in his absence, as its duly authorized and designated representative as that term is used and appears in this Agreement to act for and on behalf of Owner. This designation shall remain in full force and effect until and unless Contractor is otherwise notified in writing by Owner and directed to Contractor at his address.

Venue shall be in Lubbock County, Texas.

IN WITNESS WHEREOF, the parties have hereunto set their hands.

OWNER
TEXAS TECH UNIVERSITY

CONTRACTOR
YEADON FABRIC DOMES, INC.

By: _____
Donald R. Haragan
President

By: _____

Date: 4/3/97

Date: 4/15/97

REVIEWED FOR FISCAL IMPLICATIONS

Jim Brunjes, Vice President *SB*
for Fiscal Affairs

Date: 4/8/97

REVIEWED FOR FORM

Pat Campbell, Vice Chancellor
and General Counsel

Date: 4-1-97

4:04

Texas Tech University
Report of Official Travel
Cumulative by Fiscal Quarter
Fiscal Year 1997

I. Summary and Comparison of Travel Costs by Expenditure Classification.

	<u>This Year</u> <u>Quarters I, II & III</u>	<u>Last Year</u> <u>Quarters I, II & III</u>
(a) Commercial Airfare	\$ 932,348.79	\$ 918,611.61
(b) Personal Auto Mileage	139,196.86	124,350.20
(c) Automobile Rental	168,007.53	178,176.24
(d) Per Diem (In-State)	313,715.12	405,523.99
(e) Meals and Lodging (Out-of-State)	584,708.58	577,756.02
(f) All other, including registration fees, charter aircraft, taxi, limousine fares, etc.	<u>517,706.75</u>	<u>484,127.26</u>
Sub-Total	<u>\$2,655,683.63</u>	<u>\$2,688,545.32</u>
(g) Intercollegiate Athletic Team/ Student Group Travel	<u>1,695,002.85</u>	<u>1,110,499.81</u>
Totals	<u>\$4,350,686.48</u>	<u>\$3,799,045.13</u>

II. Percent of total travel cost incurred by purpose for Quarters I, II & III of this fiscal year.

		<u>Percent of Total Travel Cost</u>			
		<u>In-State</u>	<u>Out-of- State</u>	<u>Out-of- Country</u>	<u>Total</u>
(a)	To present an original research paper	1.29	5.59	1.46	8.34
(b)	Required for research project	1.72	1.43	.68	3.83
(c)	Attendance at professional meeting, workshop, conference, seminar, etc.	21.09	32.70	4.40	58.19
(d)	To perform official business and duties	14.01	11.56	.88	26.45
(e)	Multi-purpose meeting/paper	<u>.73</u>	<u>1.71</u>	<u>.75</u>	<u>3.19</u>
Totals		<u>38.84</u>	<u>52.99</u>	<u>8.17</u>	<u>100.00</u>

* Includes travel expenditures for the Alamo Bowl in 1997 and the Copper Bowl in 1996.

Texas Tech University
Report of Official Travel
Page 2

III. Cities traveled to and number of trips (5,954) for the purposes shown in Section II and for Quarters I, II & III:

- (a) In-State : West Texas Area (740); Dallas/Fort Worth (665); Austin (661); San Antonio (282); Houston (259); Amarillo (161); Midland/Odessa (113); El Paso (102); College Station (88); Sierra Blanca (84); Corpus Christi (56); Abilene (45); Waco (44); Richardson (42); San Marcos (36); San Angelo (31); Others (400).
- (b) Out-of-State : Washington, D.C. (140); New Orleans (121); Chicago (105); Albuquerque (87); Kansas City (65); San Diego (63); Orlando (55); San Francisco (49); Denver (49); Atlanta (49); St. Louis (43); Las Vegas (38); New York (36); Tulsa (32); Phoenix (30); Louisville (28); Columbia (27); Boston (24); Oklahoma City (24); Nashville (22); Los Angeles (21); Tucson (21); Stillwater (21); Norman (20); San Jose (19); Cincinnati (18); Indianapolis (17); Minneapolis (17); Las Cruces (16); Manhattan (15); Boulder (15); Santa Fe (15); Baltimore (15); Lincoln (14); Rapid City (14); Birmingham (13); Salt Lake City (13); Seattle (13); Fayetteville (12); Miami (12); Lawrence (12); Reno (10); Philadelphia (10); Memphis (10); Others (553).
- (c) Out-of-Country: Mexico City, Mexico (19); Puebla, Mexico (12); Toronto, Canada (6); Vancouver, Canada (5); London, England (5); Luquillo, Puerto Rico (4); San Juan, Puerto Rico (4); Geneva, Switzerland (4); Taipei, Taiwan (4); Innsbruck, Austria (3); Guadalajara, Mexico (3); Sydney, Australia (2); Beijing, China (2); Prague, Czechoslovakia (2); Liverpool, England (2); Wust, Germany (2); Guanajuato, Mexico (2); Michoacan, Mexico (2); Monterrey, Mexico (2); El Verde, Puerto Rico (2); Chernobyl, Russia (2); Chilton, United Kingdom (2); Oxfordshire, United Kingdom (2); Buenos Aires, Argentina (1); Perth, Australia (1); Townsville, Australia (1); Edmonton, Canada (1); Hamilton, Canada (1); Montreal, Canada (1); Winnipeg, Canada (1); San Jose, Costa Rica (1); Czech Republic, Czechoslovakia (1); Odense, Denmark (1); Warwick, England (1); Helsinki, Finland (1); D'Angus, France (1); Paris, France (1); St. Denis, France (1); Leipzig, Germany (1); Munich, Germany (1); Thessaloniki, Greece (1); Budapest, Hungary (1); New Delhi, India (1); Haifa, Israel (1); Tel Aviv, Israel (1); Assisi, Italy (1); Aviano, Venice, Italy (1); Garda, Italy (1); Rome, Italy (1); Kobe, Japan (1); Nogoya, Japan (1); Sendai, Japan (1); Tokyo, Japan (1); Amman, Jordan (1); Juarez, Mexico (1); Tamaulipas, Mexico (1); Eindhoven, Netherlands (1); Groningen Netherlands (1); Christ Church, New Zealand (1); Islamabad, Pakistan (1); Asuncion, Paraguay (1); Colombo, Sri Lanka, Philippines (1); Moscow, Russia (1); Granada, Spain (1); Madrid, Spain (1); Valencia, Spain (1); Basel, Switzerland (1); Ankara, Turkey (1); Kieve, Ukraine (1); Manchester, United Kingdom (1); Reading, United Kingdom (1); Hanoi, United Kingdom (1).

BUDGET ADJUSTMENTS OF \$100,000 OR MORE FOR
SUPPLEMENTAL AWARDS OR RENEWALS OF RESEARCH
AND OTHER SPONSORED PROJECTS

March 3, 1997 Through June 30, 1997

Project Activity	Amount	Source of Funds
Ultraclean Experiments for Directed Energy Plasma	188,741	AFOSR Grant#F49620-97-1-0106 CFDA #12.630
Low Noise ALGaN Photodetectors	149,924	Office of Naval Research CFDA #12.300
Tri-University Multidisciplinary, High Energy Microwave Device Consortium	242,268 2,242,189	AFOSR/MURI Contract # F49620-95-1-033
Tri-University Multidisciplinary, High Energy Microwave Device Consortium	486,611 2,728,800	AFOSR/MURI Contract # F49620-95-1-033
Upward Bound	359,888	US Dept of Education PO74A50425-97 CFDA #84.047A
New Anion-Exchange Resins for Improved Separations of Nuclear Materials	125,000	Dept of Energy #DE-FG07-97ER14765 CFDA #81.049 Amndt#A005
Metal Ion Complex by Proton-ionizable Lariat Ethers...	110,000 388,210	Dept of Energy #DE-FG03-94ER14416 CFDA #81.049 Amndt#A005
Texas Manufacturing Assistance Center Program (TMAC)	254,959 642,055	Texas A & M Subcntrct thru Texas Dept of Commerce - US Dept of Commerce CFDA #11.611
Robust WDM Network	130,000	DOD-US Army Research Lab/Colorado State University Grant #G-2515-2
Triggered Vacuum Gap Research	110,114	Physics International CFDA #12.000AR
CAD/CAM Laboratory Project	100,000	Private Gifts/Grants/Contract 70,000 - This is a master account
Evaporation of Ammonia Outside	115,676	American Society of Heating

BUDGET ADJUSTMENTS OF \$100,000 OR MORE FOR
SUPPLEMENTAL AWARDS OR RENEWALS OF RESEARCH
AND OTHER SPONSORED PROJECTS

March 3, 1997 Through June 30, 1997

Project Activity	Amount	Source of Funds
Smooth and Enhanced Tubes with Miscible and Immiscible Oils		Refrigerating and Air- Conditioning Engineers, Inc., (ASHRAE)
Performance Evaluation of Essential Facilities in Severe Windstorms	101,127 298,748	Georgia Emergency Management Agency

TEXAS TECH UNIVERSITY
Summary of Revenues by Budget Category - FY 1997
May 31, 1997

	Current Budget	Historical Norm	Year-to-Date Actual	Actual to Historic Norm Over(Under)	Actual %	Historic %
EDUCATIONAL AND GENERAL						
General Revenue	\$ 86,121,368	\$ 64,591,026	\$ 64,764,632	\$ 173,606	75.20%	75.00%
Tuition, net	21,333,325	20,811,122	21,330,386	519,264	99.99%	97.55%
Fees	1,123,191	1,120,230	1,104,054	(16,176)	99.30%	99.74%
Sales and Services	43,025	39,467	46,378	6,911	107.79%	91.73%
Indirect Cost, net	1,924,000	1,366,026	1,770,293	404,272	92.01%	71.00%
Organized Activities	193,675	200,516	188,873	(11,643)	97.52%	103.53%
Extension Courses	768,958	815,504	768,964	(46,540)	100.00%	106.05%
Time Deposit Interest	1,760,612	1,444,514	2,202,084	757,570	125.07%	82.05%
Miscellaneous	82,312	111,787	225,776	113,989	274.29%	135.81%
HEAF	16,887,085	12,665,314	12,665,314	0	75.00%	75.00%
Graduate Tuition	3,662,546	3,524,253	3,679,911	155,658	95.27%	91.24%
Authorized Carryforwards	15,339,400	15,339,400	15,339,400	0	100.00%	100.00%
TOTAL EDUCATIONAL AND GENERAL	\$ 149,439,497	\$ 122,029,159	\$ 124,086,069	\$ 2,056,911	83.03%	81.66%
DESIGNATED FUNDS						
General Designated-Pledged	\$ 47,445,395	\$ 44,839,118	\$ 45,496,374	\$ 657,256	95.89%	94.51%
General Designated-Unpledged	33,075,591	30,772,224	29,826,439	(945,785)	90.18%	93.04%
Designated Service Departments	18,967,953	13,193,147	13,434,795	241,648	70.83%	69.55%
Authorized Carryforwards	4,122,492	4,122,492	4,122,492	0	100.00%	100.00%
TOTAL DESIGNATED FUNDS	\$ 103,611,421	\$ 92,926,931	\$ 92,880,100	\$ (46,881)	89.64%	89.69%
AUXILIARY FUNDS						
Pledged Auxiliary Funds	\$ 54,166,405	\$ 44,779,728	\$ 45,095,390	\$ 316,662	83.26%	82.67%
Authorized Carryforwards	2,217,293	2,217,298	2,217,298	0	100.00%	100.00%
TOTAL AUXILIARY FUNDS	\$ 56,383,703	\$ 46,997,026	\$ 47,313,688	\$ 316,662	83.91%	83.35%
CURRENT RESTRICTED FUNDS						
CONTRACTS, GRANTS, AND GENERAL						
Federal Programs	\$ 12,571,200	\$ 7,808,255	\$ 8,508,625	\$ 700,370	67.66%	62.11%
State Programs	1,924,900	1,427,146	834,461	(592,685)	43.35%	74.14%
Private Programs	12,411,928	11,679,203	12,506,661	827,453	100.76%	94.10%
TOTAL CONTRACTS, GRANTS, AND GENERAL	\$ 26,908,028	\$ 20,914,609	\$ 21,849,747	\$ 935,138	81.20%	77.73%
STUDENT AID						
Federal Financial Aid	\$ 8,550,000	\$ 5,303,339	\$ 5,448,930	\$ 145,650	63.73%	62.03%
Scholarships and Fellowships	2,583,050	1,859,350	2,783,569	924,619	107.76%	71.96%
TOTAL STUDENT AID	\$ 11,133,000	\$ 7,162,689	\$ 8,232,499	\$ 1,070,269	73.95%	64.34%
TOTAL CURRENT RESTRICTED FUNDS	\$ 38,041,028	\$ 28,077,298	\$ 30,082,205	\$ 2,005,407	79.05%	73.81%
TOTAL REVENUES	\$ 347,475,649	\$ 290,030,454	\$ 294,362,553	\$ 4,332,099	84.71%	83.47%

TEXAS TECH UNIVERSITY
Summary of Expenditures by Budget Category - Fiscal Year 1997
May 31, 1997

	Current Budget	Historical Norm	Year-to-Date Actual	Actual to Historical Norm Over(Under)	Actual %	Historical %
EDUCATIONAL AND GENERAL						
General Administration	\$ 5,340,566	\$ 3,119,612	\$ 2,567,945	\$ (551,667)	48.08%	58.41%
Student Services	2,007,503	499,833	1,377,802	877,969	68.63%	24.90%
Staff Benefits	5,030,484	2,491,936	1,797,587	(694,349)	35.73%	49.54%
OASI	1,585,115	158,979	6,861	(152,118)	0.43%	10.03%
Faculty Salaries	54,923,266	43,269,161	43,252,634	(16,527)	78.75%	78.78%
Departmental Operating Expense	9,684,427	6,832,439	6,262,474	(569,965)	64.67%	70.55%
Instructional Administration	3,355,466	2,260,484	2,227,445	(33,039)	66.38%	67.37%
Academic Operations Support	1,569,760	325,826	390,836	65,010	24.90%	20.76%
Library	2,824,746	2,511,081	2,548,202	37,121	90.21%	88.90%
Organized Research	2,667,746	1,532,413	970,971	(561,442)	36.40%	57.44%
Physical Plant	8,623,483	5,841,875	5,467,774	(374,101)	63.41%	67.74%
Purchased Utilities	9,693,203	6,004,634	5,774,477	(230,157)	59.57%	61.95%
Scholarships	172,356	101,058	163,341	62,283	94.77%	58.63%
Special Items	5,077,548	2,940,100	2,806,111	(133,989)	55.27%	57.90%
International Cultural Center	1,106,621	211,452	278,113	66,661	25.13%	19.11%
West Texas Legal Resource Center	3,247,920	2,331,210	2,174,934	(156,276)	66.96%	71.78%
Bond Retirement	4,369,684	3,393,006	3,498,551	105,545	80.06%	77.65%
Other	2,462,988	1,671,217	1,502,802	(168,415)	61.02%	67.85%
HEAF	21,196,822	3,011,209	3,655,878	644,669	17.25%	14.21%
Graduate Tuition	4,499,793	3,763,241	3,058,972	(704,269)	67.98%	83.63%
TOTAL EDUCATIONAL AND GENERAL	\$ 149,439,497	\$ 92,270,766	\$ 89,783,710	\$ (2,487,056)	60.08%	61.74%
DESIGNATED FUNDS						
General Designated-Pledged	\$ 50,785,996	\$ 36,546,766	\$ 35,671,221	\$ (875,545)	70.24%	71.96%
General Designated-Unpledged	33,515,805	35,954,543	35,699,055	(56,488)	107.11%	107.28%
Designated Service Departments	19,309,620	13,426,781	13,125,156	(301,625)	67.97%	69.53%
TOTAL DESIGNATED FUNDS	\$ 103,611,421	\$ 85,928,090	\$ 84,694,432	\$ (1,233,658)	81.74%	82.93%
AUXILIARY FUNDS						
Pledged Auxiliary Funds	\$ 56,383,703	\$ 42,124,162	\$ 41,719,048	\$ (405,114)	73.99%	74.71%
TOTAL AUXILIARY FUNDS	\$ 56,383,703	\$ 42,124,162	\$ 41,719,048	\$ (405,114)	73.99%	74.71%
CURRENT RESTRICTED FUNDS						
CONTRACTS, GRANTS, AND GENERAL						
Federal Programs	\$ 12,571,200	\$ 8,829,565	9,531,409	\$ 701,844	75.82%	70.24%
State Programs	1,924,900	1,191,321	826,973	(304,348)	45.05%	61.89%
Private Programs	12,411,928	8,623,458	9,391,327	767,869	75.66%	69.48%
TOTAL CONTRACTS, GRANTS, AND GENERAL	\$ 26,908,028	\$ 18,644,344	\$ 19,750,709	\$ 1,165,365	73.62%	69.29%
STUDENT AID						
Federal Financial Aid	\$ 8,550,000	\$ 8,263,711	\$ 8,450,362	\$ 186,651	98.83%	96.65%
Scholarships and Fellowships	2,583,000	2,532,321	2,640,828	308,507	109.98%	98.04%
TOTAL STUDENT AID	\$ 11,133,000	\$ 10,796,032	\$ 11,291,190	\$ 495,158	101.42%	96.97%
TOTAL CURRENT RESTRICTED FUNDS	\$ 38,041,028	\$ 29,440,376	\$ 31,100,899	\$ 1,660,523	81.76%	77.39%
TOTAL EXPENDITURES	\$ 347,475,649	\$ 249,763,394	\$ 247,298,089	\$ (2,465,305)	71.17%	71.88%
NET REVENUES OVER (UNDER)	\$ 0		\$ 47,054,474			

VPFA02I

SUMMARY OF AWARDS - UNIVERSITY

July 14, 1997

	FISCAL YEAR 1994				FISCAL YEAR 1995				FISCAL YEAR 1996				FISCAL YEAR 1997			
	Prop. No.	Awards No.	Totals	Indirect Cost Amt.	Prop. No.	Awards No.	Totals	Indirect Cost Amt.	Prop. No.	Awards No.	Totals	Indirect Cost Amt.	Prop. No.	Awards No.	Totals	Indirect Cost Amt.
P	53	75	3,085,319	315,164	46	63	1,899,031	206,079	19	47	2,197,979	201,491	55	70	4,815,122	410,934
OT	58	46	2,946,522	230,003	48	57	3,396,372	292,085	45	49	2,821,837	234,428	32	44	2,487,286	221,283
OV	47	23	490,835	45,829	56	36	2,115,755	149,950	57	31	1,398,710	146,803	59	32	2,076,205	260,341
EC	33	44	*2,872,174	89,636	28	18	695,573	103,512	38	49	+4,354,333	169,492	41	18	975,471	113,144
N	54	44	972,518	167,663	55	44	2,532,322	405,157	72	47	++2,407,398	276,590	64	51	1,377,440	173,000
B	40	26	1,476,096	146,895	49	30	788,142	99,216	40	39	1,360,728	245,565	44	41	2,896,678	417,624
d																
ear	285	258	11,843,464	995,190	282	248	11,427,195	1,255,999	271	262	14,540,985	1,274,369	295	256	14,628,202	1,596,326
als																
AR	22	40	1,355,603	280,132	26	29	1,042,362	112,694	27	31	1,504,600	132,030	20	34	965,175	222,393
PR	46	42	1,484,153	121,849	35	19	1,045,071	106,017	46	44	1,593,521	134,217	77	46	1,549,114	163,071
AY	48	53	1,762,817	234,233	51	54	3,352,060	396,748	56	46	4,030,130	603,415	44	42	2,904,203	449,810
IN	29	29	1,717,911	203,760	48	45	1,246,404	226,291	30	38	1,730,562	289,721	21	34	1,697,877	217,872
JL	25	29	2,529,104	249,168	**231	38	1,499,737	190,850	39	48	2,899,755	290,874				
JG	32	57	2,349,444	130,190	33	74	5,542,680	538,696	38	50	3,076,548	322,997				
scal																
ear	487	508	23,042,496	2,214,522	706	507	25,155,509	2,827,295	507	510	29,376,101	3,047,623				
als																
ear to date totals through June																
	430	422	18,163,948	1,835,164	442	395	18,113,092	2,097,749	430	421	23,399,798	2,433,752	457	412	21,744,571	2,649,472

FY 1994 Averages

FY 1995 Averages

FY 1996 Averages

FY 1997 Averages

Proposals: 41	Proposals: 59	Proposals: 42	Proposals: 46
Awards: 42	Awards: 42	Awards: 43	Awards: 41
Amounts: \$1,915,208	Amounts: \$2,096,292	Amounts: \$2,448,008	Amounts: \$2,174,457
Average Award: \$45,600	Average Award: \$49,519	Average Award: \$57,600	Average Award: \$52,778

This figure includes \$1,959,653 which was awarded by the State ARP/ATP Program.

+FY 1994 and 1995 include TTRF totals.

This figure includes 203 proposals submitted by TTU to the State ARP/ATP Program.

This figure includes 2,998,225 which was awarded by the State ARP/ATP Program.

-This figure includes \$777,886 which was awarded by the State ARP/ATP Program.

OFFICE OF DEVELOPMENT
Gifts and Grants as of June 30, 1997
and
Gifts and Grants as of June 30, 1996

	Fiscal Year 1997	Fiscal Year 1996
Texas Tech University		
September 30	\$ 557,556.73	\$ 363,144.43
October 31	578,393.15	359,477.13
November 30	603,418.85	380,162.17
December 31	1,165,453.92	979,165.58
January 31	1,283,453.68	977,382.26
February 28	320,960.60	449,431.34
March 31	523,445.80	611,459.46
April 30	451,490.37	735,560.65
May 31	489,765.65	530,738.54
June 30	5,723,068.67	244,059.04
Total University	\$ 11,697,007.42	\$ 5,630,580.60
Texas Tech Foundation, Inc.		
September 30	\$ 271,778.21	\$ 293,343.64
October 31	560,119.76	258,418.42
November 30	301,681.62	178,791.66
December 31	2,514,723.31	1,745,900.50
January 31	349,284.13	310,006.46
February 28	323,076.90	176,552.92
March 31	130,668.68	93,899.13
April 30	338,546.90	1,034,302.11
May 31	368,723.02	203,897.32
June 30	476,782.68	212,295.66
Total Foundation	\$ 5,635,385.21	\$ 4,507,407.82
Texas Tech University Health Sciences Center		
September 30	\$ 83,293.36	\$ 66,005.40
October 31	18,506.10	37,798.83
November 30	66,242.00	35,690.00
December 31	418,675.89	54,896.00
January 31	76,340.00	112,760.26
February 28	25,143.03	36,693.43
March 31	38,482.53	25,642.86
April 30	98,539.00	367,369.36
May 31	99,758.00	14,340.00
June 30	68,111.02	91,120.30
Total Health Sciences Center	\$ 993,090.93	\$ 842,316.44
Grand Totals	<u>\$ 18,325,483.56</u>	<u>\$ 10,980,304.86</u>

Texas Tech University
Health Sciences Center
Lubbock, Texas

For Information Only: Contracts renewed per Board Policy 04.05 4.d.
March 15, 1997 to July 10, 1997

<u>FACILITY</u>	<u>SCHOOL/ DEPARTMENT</u>	<u>CONTRACT AMOUNT</u>	<u>PREVIOUS CONTRACT AMOUNT</u>
Northwest Texas Healthcare System	School of Medicine	2,539,539	2,335,000
R.E. Thomason General Hospital	School of Medicine	6,007,344	6,214,245

Texas Tech University
Health Sciences Center

For Information Only: Affiliation Agreements
March 15, 1997 through July 10, 1997

FACILITY/CITY	DEPARTMENT	SCHOOL
All Saints Hospital Fort Worth, Texas	Physical Therapy	Allied Health
Amarillo Speech-Hearing and Language Center Amarillo, Texas	Communication Disorders	Allied Health
American Therapy Services San Antonio, Texas	Occupational Therapy and Physical Therapy	Allied Health
Arlington Orthopedic Associates Arlington, Texas	Occupational Therapy	Allied Health
Audio Acoustics Odessa, Texas	Communication Disorders	Allied Health
Cogdell Memorial Hospital Snyder, Texas	Occupational Therapy and Physical Therapy	Allied Health
Columbia Medical Center Arlington, Texas	Occupational Therapy	Allied Health
Columbia-Presbyterian-St. Luke's Medical Center Denver, Colorado	Communication Disorders	Allied Health
Cook Children's Medical Center Fort Worth, Texas	Occupational Therapy	Allied Health
Dalaine Barron Fletcher Occupational Therapy Clinic DeSoto, Texas	Occupational Therapy	Allied Health
High Frontier, Inc. Fort Davis, Texas	Occupational Therapy	Allied Health
Human Performance Institute American Fork, Utah	Physical Therapy	Allied Health
Jewish Hospital Health Care Services, Inc. New Albany, Indiana	Communication Disorders	Allied Health
Lubbock Independent School District Lubbock, Texas	Communication Disorders	Allied Health

Affiliation Agreements
March 15, 1997 through July 10, 1997
Page 2

Lubbock State School Lubbock, Texas	Communication Disorders	Allied Health
Medical Center Hospital Odessa, Texas	Communication Disorders	Allied Health
Memorial Rehabilitation Hospital Houston, Texas	Occupational Therapy	Allied Health
Methodist Hospital Lubbock, Texas	Communication Disorders	Allied Health
Mitchell County Hospital Colorado City, Texas	Emergency Medical Services	Allied Health
Morning Side Ministries San Antonio, Texas	Occupational Therapy	Allied Health
Neurology Research and Education Center Lubbock, Texas	Communication Disorders	Allied Health
Orem Community Hospital Orem, Utah	Physical Therapy	Allied Health
Orthopaedic Hand and Microvascular Surgery Center Lubbock, Texas	Occupational Therapy	Allied Health
Parenting Cottage Lubbock, Texas	Communication Disorders	Allied Health
Pediatric Therapy, Inc. Lubbock, Texas	Communication Disorders	Allied Health
Presbyterian Hospital of Kaufman Kaufman, Texas	Occupational Therapy	Allied Health
Presbyterian Hospital of Plano Plano, Texas	Occupational Therapy	Allied Health
RehabWorks of TX Charlotte, North Carolina	Occupational Therapy	Allied Health
Salem Hospital Salem, Oregon	Occupational Therapy	Allied Health
South Plains/Warm Springs Lubbock, Texas	Communication Disorders	Allied Health
Southwood Rehabilitation and Nursing Facility College Station, Texas	Occupational Therapy and Physical Therapy	Allied Health

Affiliation Agreements
March 15, 1997 through July 10, 1997
Page 3

Speech-Language Hearing Center of Lubbock Lubbock, Texas	Communication Disorders	Allied Health
St. John's Health System Anderson, Indiana	Communication Disorders	Allied Health
Sunshine Rehab Clearwater, Florida	Occupational Therapy	Allied Health
The Therapy Center Bryan, Texas	Occupational Therapy	Allied Health
TheraTx Rehab Centers of Excellence- Heritage Oaks Lubbock, Texas	Communication Disorders	Allied Health
TheraTx, Inc., d.b.a. Lubbock Hospital House Lubbock, Texas	Occupational Therapy	Allied Health
Pecos County Memorial Hospital Pecos County General Hospital Fort Stockton, Texas	Texas Tech University Health Sciences Center El Paso, Texas	Medicine
St. Mary Surgicenter Lubbock, Texas	Orthopaedic Surgery	Medicine
Tenet Hospitals Limited a.k.a. Providence Memorial Hospital El Paso, Texas	Texas Tech University Health Sciences Center El Paso, Texas	Medicine
University of Texas at El Paso El Paso, Texas	Texas Tech University Health Sciences Center El Paso, Texas	Medicine
University of Texas Medical Branch at Galveston Galveston, Texas	Pediatrics El Paso, Texas	Medicine
East Texas Medical Center at Tyler Tyler, Texas	Nursing	Nursing
Espanola Hospital Espanola, New Mexico	Nursing	Nursing
Family Hospice of the Plains Lubbock, Texas	Nursing	Nursing

Affiliation Agreements
March 15, 1997 through July 10, 1997
Page 4

Lovelace Medical Center, Midwifery Service Albuquerque, New Mexico	Nursing	Nursing
Lubbock County Chief Medical Examiner Lubbock, Texas	Nursing	Nursing
Presbyterian Healthcare Services Albuquerque, New Mexico	Nursing	Nursing
Prude Ranch Fort Davis, Texas	Nursing	Nursing
Santa Fe PHS Indian Hospital Santa Fe, New Mexico	Nursing	Nursing
Symphony Home Care Lubbock, Texas	Nursing	Nursing
Trinity Mother Frances Hospital Tyler, Texas	Nursing	Nursing
New Mexico Junior College Hobbs, New Mexico	Managed Health Care Lubbock, Texas	Managed Health Care

Texas Tech University
Health Sciences Center
Lubbock, Texas

For Information Only: School of Medicine Faculty Employment Contracts

<u>Name & Rank/Title</u>	<u>Department & Campus</u>	<u>Term</u>	<u>Amount</u>
Harpreet S. Grewal, M.D. Assistant Professor	Anesthesiology - Lubbock	8/11/97-8/31/98	\$149,000
Joan T. Hoffpauir, M.D. Instructor	Pathology - El Paso	7/1/97-8/31/98	100,000
Tae Kim, M.D. Assistant Professor	Anesthesiology - Lubbock	6/23/97-8/31/97	150,000
Tammy Camp, M.D. Assistant Professor	Pediatrics - Lubbock	1/1/98-8/31/98	110,000
Annette Hoy, M.D. Instructor	Ob/Gyn - El Paso	5/1/97-8/31/97	100,000
Joseph E. Loewenstein, M.D. Professor	Internal Medicine - Odessa	7/1/97-8/31/98	130,000
Daniel Miller, M.D. Assistant Professor	Neurosurgery - El Paso	5/15/97-8/31/97	250,000
Joe Robinson, M.D. Assistant Professor	Anesthesiology - Lubbock	6/1/97-8/31/98	150,000
Steven Steinbaum, M.D. Assistant Professor	Radiology - Lubbock	5/1/97-4/30/99	170,000
George Vailas, M.D. Associate Professor	Pediatrics - Odessa	9/1/97-8/31/98	137,500
Larry Brit Lawrence, M.D. Instructor	Ob/Gyn - Lubbock	7/1/97-8/31/98	120,000
Julie B. Greene, D.O. Instructor	Anesthesiology - Lubbock	7/1/97-8/31/98	135,000
Yangheng Fu, M.D., Ph.D. Assistant Professor	Internal Medicine - Amarillo	7/1/97-8/31/97	100,000
Matthew Brian Krebs, M.D. Assistant Professor	Family & Community Medicine	7/1/97-8/31/98	130,000
Brian J. Norkiewicz, M.D. Instructor	Surgery - Lubbock	7/1/97-8/31/98	100,000
Sammy A. Deeb, M.D. Instructor	Surgery - Lubbock	7/1/97-6/30/98	100,000
Andrew McKibben, M.D. Assistant Professor	Internal Medicine - Odessa	7/1/97-8/31/98	130,000

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
Summary of Expenditures by Budget Category - Fiscal Year 1997
May 31, 1997

	Current Budget	Historical Norm	Year-to Date Actual	Actual to Historical Norm Over (Under)	Actual %	Historical %
EDUCATIONAL AND GENERAL						
Central Services	\$1,815,096	\$1,489,427	\$1,387,423	(\$102,004)	76.44%	82.06%
Institutional Support	4,302,430	3,221,176	3,310,349	89,173	76.94%	74.87%
Student Services	376,516	280,951	274,382	(6,569)	72.87%	74.62%
Staff Benefits	1,475,875	904,362	406,418	(497,944)	27.54%	61.28%
Library	1,624,471	1,257,923	1,292,617	34,694	79.57%	77.44%
Research Enhancement	84,646	66,396	62,128	(4,268)	73.40%	78.44%
Continuing Education	15,603	11,650	11,816	166	75.73%	74.67%
Physical Plant Operations	4,416,525	3,212,333	3,121,884	(90,449)	70.69%	72.73%
Utilities	5,662,439	3,165,710	3,812,217	646,507	67.32%	55.91%
School of Medicine - Lubbock	14,755,060	10,969,589	10,604,712	(364,877)	71.87%	74.34%
School of Medicine - Amarillo	2,964,556	2,179,279	2,178,720	(559)	73.49%	73.51%
School of Medicine - Odessa	1,392,520	1,027,934	1,014,570	(13,364)	72.86%	73.82%
School of Medicine - El Paso	5,015,089	3,696,356	3,690,481	(5,875)	73.59%	73.70%
Organized Activities	3,049,972	2,307,687	2,267,743	(39,944)	74.35%	75.65%
Border Health Care - Academic Expansion	3,897,619	2,774,112	2,765,636	(8,476)	70.96%	71.17%
Border Health Care - Academic Operations	414,850	284,987	291,352	6,365	70.23%	68.70%
Border Health Care - Resident Support	413,989	315,487	313,080	(2,407)	75.63%	76.21%
South Texas Border Region Health Pro. Ed.	1,366,856	1,093,150	993,028	(100,122)	72.65%	79.98%
School of Nursing	2,631,243	2,018,840	1,999,361	(19,479)	75.99%	76.73%
School of Allied Health - Lubbock	2,028,535	1,428,111	1,491,924	63,813	73.55%	70.40%
School of Allied Health - Amarillo	575,416	360,923	402,301	41,378	69.91%	62.72%
School of Allied Health - Odessa	132,296	97,017	97,739	722	73.68%	73.33%
Graduate School for Biomedical Education	832,571	596,961	520,363	(76,598)	62.50%	71.70%
School of Pharmacy	2,099,320	1,311,892	1,525,990	214,098	72.69%	62.49%
Special Items	5,278,067	3,823,379	2,738,317	(1,085,062) (2)	51.86%	72.44%
Advanced Technology/Advanced Research	426,177	308,774	156,766	(151,988)	36.79%	72.45%
HEAF	7,735,000	5,935,146	4,558,192	(1,376,954) (3)	58.93%	76.73%
TOTAL EDUCATIONAL AND GENERAL	\$74,782,737	\$54,139,552	\$51,289,529	(\$2,850,023)	68.58%	72.40%
DESIGNATED						
Designated	\$104,652,095	\$80,864,534	\$65,516,561	(\$15,347,973) (4)	62.60%	77.27%
TOTAL DESIGNATED	\$104,652,095	\$80,864,534	\$65,516,561	(\$15,347,973)	62.60%	77.27%
AUXILIARY ENTERPRISES						
Auxiliary Funds	\$414,533	\$292,163	\$239,101	(\$53,062)	57.65%	70.48%
TOTAL AUXILIARY ENTERPRISES	\$414,533	\$292,163	\$239,101	(\$53,062)	57.65%	70.48%
CURRENT RESTRICTED						
CONTRACTS, GRANTS AND GENERAL						
Federal Programs	\$3,154,743	\$2,323,145	\$1,959,944	(\$363,201)	62.13%	73.64%
State Programs	75,104,042	48,646,802	44,339,144	(4,307,658) (5)	59.04%	64.77%
Local Programs	26,950,162	19,945,438	20,139,601	194,363	74.62%	73.90%
Private Programs	7,118,060	4,359,254	4,548,678	189,424	63.90%	61.24%
TOTAL CONTRACTS, GRANTS & GENERAL	\$112,367,007	\$75,274,639	\$70,987,567	(\$4,287,072)	63.17%	66.99%
STUDENT AID						
Federal Financial Aid	\$263,857	\$125,557	\$149,058	\$23,501	56.49%	47.59%
Scholarships and Fellowships	139,574	40,429	58,684	18,255	42.01%	28.95%
TOTAL STUDENT AID	\$403,531	\$165,986	\$207,742	\$41,756	51.48%	41.13%
TOTAL CURRENT RESTRICTED	\$112,770,538	\$75,440,625	\$71,195,309	(\$4,245,316)	63.13%	66.90%
TOTAL EXPENDITURES	\$292,619,930	\$210,735,874	\$188,240,500	(\$22,496,374)	64.33%	72.02%

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
Summary of Revenues by Budget Category - Fiscal Year 1997
May 31, 1997

	Current Budget	Historical Norm	Year-to Date Actual	Actual to Historical Norm Over (Under)	Actual %	Historical %
EDUCATIONAL AND GENERAL						
General Revenue	\$58,609,469	\$58,527,540	\$58,609,469	\$81,929	100.00%	99.86%
Tuition, net	3,372,000	3,102,928	3,454,492	351,564	102.45%	92.02%
Fees	17,000	17,000	18,495	1,495	103.79%	100.00%
Sales and Services	422,000	312,712	360,781	48,069	85.49%	74.10%
Indirect Cost	800,000	581,956	884,810	302,854	110.60%	72.74%
Investment Income	400,000	292,088	637,097	345,009	159.27%	73.02%
Miscellaneous Revenue	18,000	14,696	12,631	(2,065)	70.17%	81.65%
HEAF	7,735,000	7,735,000	7,735,000		100.00%	100.00%
TOTAL EDUCATIONAL AND GENERAL	\$71,373,469	\$70,583,920	\$71,712,775	\$1,128,855	100.48%	98.89%
DESIGNATED						
Designated	\$99,390,334	\$73,942,670	\$69,455,263	(\$4,487,407) (1)	69.88%	74.40%
TOTAL DESIGNATED	\$99,390,334	\$73,942,670	\$69,455,263	(\$4,487,407)	69.88%	74.40%
AUXILIARY ENTERPRISES						
Auxiliary Funds	\$414,538	\$337,728	\$375,446	\$37,718	90.57%	81.47%
TOTAL AUXILIARY ENTERPRISES	\$414,538	\$337,728	\$375,446	\$37,718	90.57%	81.47%
CURRENT RESTRICTED						
CONTRACTS, GRANTS AND GENERAL						
Federal Programs	\$3,154,743	\$1,650,601	\$2,365,397	\$714,796	74.95%	52.32%
State Programs	75,104,042	53,687,126	54,197,543	510,417	72.16%	71.48%
Local Programs	26,990,162	19,513,937	18,861,287	(652,650)	69.86%	72.30%
Private Programs	7,118,090	4,763,624	5,586,756	823,132	78.49%	66.92%
TOTAL CONTRACTS, GRANTS & GENERAL	\$112,367,037	\$79,615,268	\$81,010,983	\$1,395,695	72.09%	70.85%
STUDENT AID						
Federal Financial Aid	\$263,857	\$121,056	\$142,833	\$21,777	54.13%	45.88%
Scholarships and Fellowships	139,674	92,139	145,207	53,068	103.96%	65.97%
TOTAL STUDENT AID	\$403,531	\$213,195	\$288,040	\$74,845	71.38%	52.83%
TOTAL CURRENT RESTRICTED	\$112,770,568	\$79,828,463	\$81,299,023	\$1,470,540	72.09%	70.79%
TOTAL REVENUES	\$283,948,909	\$224,692,601	\$222,842,507	(\$1,650,294)	78.46%	79.13%

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER
Explanation of Revenue and Expenditure Variances - Fiscal Year 1997
May 31, 1997

VARIANCES ARE DUE TO:

REVENUES:

- (1) Designated funds were received at a level below the authorized budget.
 - Lubbock MPIP revenues were \$2,285,566 less than the authorized budget.
 - Amarillo MPIP revenues were \$415,418 less than the authorized budget.
 - El Paso MPIP revenues were \$1,454,404 less than the authorized budget.

EXPENDITURES:

- (2) Special Items include \$1,609,331 for the Odessa Medical Education and Health Clinic of which only \$228,717 had been expended as of the third quarter.
- (3) HEAF includes \$2,000,000 to fund the Odessa Clinic of which none had been expended as of the third quarter.
- (4) Designated funds were expended at a level below the authorized budget.
 - Lubbock MPIP expenditures were \$2,715,764 less than the authorized budget.
 - Amarillo MPIP expenditures were \$1,386,207 less than the authorized budget.
 - El Paso MPIP expenditures were \$3,327,281 less than the authorized budget.
 - General Designated expenditures were \$4,777,707 less than the authorized budget.
- (5) TDCJ funds were not expended at the same level at which they were received.

	05/31/97
TDCJ Revenues	\$49,225,239
TDCJ Expenses	<u>\$44,286,042</u>
	\$4,939,197

Texas Tech University Health Sciences Center
 Budget Adjustments for Research
 Contracts, Grants, and Sponsored Projects
 4/1/97 - 6/30/97

Activity	Source of Funds		Expense	Remarks
	Other	Income		
INFORMATION ITEMS: NEW AWARDS EXCEEDING \$100,000 National Institute of Health Pharmacology - Lubbock Total New Awards Exceeding \$100,000		126,066	126,066	To study the mechanism by which the transport of neurotransmitters is involved in processing neural information and memory and how this may contribute to human disease when it malfunctions.
		126,066	126,066	

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