

TEXAS TECH UNIVERSITY  
LUBBOCK, TEXAS

MINUTES OF THE BOARD OF REGENTS  
OF  
TEXAS TECH UNIVERSITY

SEPTEMBER 1, 1995 THROUGH AUGUST 31, 1996

VOLUME II

TEXAS TECH UNIVERSITY

MINUTES OF THE BOARD OF REGENTS  
OF  
TEXAS TECH UNIVERSITY

MAY 10, 1996

TEXAS TECH UNIVERSITY  
Lubbock, Texas

Minutes

Board of Regents  
May 10, 1996

- M74. The Board of Regents of Texas Tech University met in regular session on Friday, May 10, 1996, at 1:00 p.m. in the Board Suite on campus. The following regents were present: Mr. Edward E. Whitacre, Jr., Chair, Mr. John C. Sims, Vice Chair, Mr. J. Robert Brown, Dr. Bernard A. Harris, Jr., Dr. Carl E. Noe, Mr. James E. Sowell, Mrs. Elizabeth C. Ward and Mr. Alan B. White. Officials and staff present were: Dr. Donald R. Haragan, Interim President; Dr. John Burns, Interim Executive Vice President and Provost, TTU; Dr. Bernhard T. Mittermeyer, Executive Vice President and Provost, TTUHSC; Mr. Jim Brunjes, Vice President for Administration and Interim Vice President for Fiscal Affairs, TTU; Mr. Pat Campbell, Vice President, Ms. Glenda Robinson, Senior Associate and Mr. Victor Mellinger, Associate, Office of General Counsel; Mr. Mike Sanders, Vice President for Governmental Affairs; Mr. William G. Wehner, Vice President for Institutional Advancement; Mr. Elmo Cavin, Vice President for Fiscal Affairs, TTUHSC; Dr. Robert H. Ewalt, Vice President for Student Affairs; Dr. Virginia M. Sowell, Vice Provost, TTU; Dr. Thomas G. Newman, Associate Vice President for Computing and Information Technology; Mr. Steve Pruitt, Associate Vice President for Business Affairs and Comptroller; Mr. Ed McGee, Assistant Vice President for Investments; Dr. Jane L. Winer, Dean, College of Arts and Sciences; Dr. Samuel E. Curl, Dean, College of Agricultural Sciences and Natural Resources; Dr. Elizabeth Haley, Dean, College of Human Sciences; Mr. Frank Newton, Dean, School of Law; Dr. Shirley McManigal, Dean, School of Allied Health; Dr. Pat YoderWise, Dean, School of Nursing; Dr. Arthur Nelson, Dean, School of Pharmacy; Dr. Dale M. Dunn, Regional Dean, School of Medicine, TTUHSC at Lubbock; Dr. Gabor Racz, Professor and Chairman, Anesthesiology; Dr. Clyde Hendrick, Professor, Psychology; Mr. Robert Bockrath, Director, Intercollegiate Athletics; Mr. D. Kent Kay, Director, Internal Audit; Mrs. Theresa Drewell, Director, and Mr. Gene Bals, Assistant Director, Facilities Planning and Construction; Mr. Steve Kauffman, Associate Director, University News and Publications; Mr. Jim Lewis, Executive Assistant to Executive Vice President and Provost, TTUHSC; Ms. Jacqueline Garcia, Assistant Vice President, Fiscal Affairs, TTU; and Mrs. Donna Davidson Kittrell, Assistant Secretary to the Board.

Others present were: Dr. and Mrs. Grover E. Murray, President Emeritus; Ms. Shelly Brunner, KAMC-TV; Ms. Nylinn Nichols, KLBK-TV; Ms. Kristen Cusado, KCBD-TV; Ms. Angela Brown, Lubbock Avalanche Journal; Mrs. Maggie Miller; and Mrs. Peggy Kosloskie.

- M75. Chair Whitacre called the meeting to order and asked Dr. Bernhard T. Mittermeyer to give the invocation.
- M76. Upon motion made by Mr. Brown, seconded by Dr. Noe, the Minutes of the meetings of February 9, February 23, March 8, and April 3, 1996, were approved.
- M77. Dr. Noe reported for the Academic, Student and Clinical Affairs Committee. The following seven items (M78 through M84) constitute action taken upon committee recommendation.
- M78. Upon recommendation made by the Academic, Student and Clinical Affairs Committee, the following was unanimously approved as revised: *RESOLVED, that the Board of Regents approves the State Strategic Plan as attached for Texas Tech University and authorizes the President to proceed with the submission of this plan to required authorities; Attachment No. M1.*
- M79. Upon recommendation made by the Academic, Student and Clinical Affairs Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents authorizes the President to enter into a contract for the purchase of a Student Information System funding the purchase from unallocated FY 1996 General Use Fees and to implement the Student Information System.*

Dr. Noe introduced Dr. Ewalt, Vice President for Student Affairs, who made the following comments in reference to the revisions to the Student Affairs Handbook:

The Student Affairs Handbook revisions are to the "student code" section which provides rules and regulations for student conduct. This handbook is reviewed every year by a faculty committee and then by administrative personnel. This year there are no real substantive changes except for the item dealing with the fact that hand guns are still not allowed on campus even though one may have a license to carry a gun. The other changes are all editorial.

- M80. Upon recommendation made by the Academic, Student and Clinical Affairs Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents approves the revisions of Part IX Code of "Student Conduct" of the Students Affairs Handbook as amended and noted in the attachment to be effective August 1, 1996; Attachment No. M2.*
- M81. Upon recommendation made by the Academic, Student and Clinical Affairs Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents approves the appointments with tenure for Dr. Jon Bredeson and Dr. Henryk Timkin of the College of Engineering, effective this date.*
- M82. Upon recommendation made by the Academic, Student and Clinical Affairs Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents grants continuing appointment to the librarians and archivists of Texas Tech University whose names appear on the attached list, effective this date; Attachment No. M3.*
- M83. Upon recommendation made by the Academic, Student and Clinical Affairs Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents grants an exception to the restriction of Board Policy 04.23, Nepotism, and approves the appointment of Mr. Craig G. White in the area of Accounting in the College of Business Administration.*
- M84. Upon recommendation made by the Academic, Student and Clinical Affairs Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents ratifies administrative actions as follows:*
- a. *Conferral of degrees for the May 11, 1996, Commencement*
  - b. *Leaves of absence*
  - c. *Establish the Cooperative Institute for Convective Meteorology Studies*
  - d. *Commission as peace officers, James M. Kelley, effective February 1, 1996, and Scotty Cummins, effective March 18, 1996; Attachment No. M4.*
- M85. Mr. White reported for the Finance and Administration Committee. The following sixteen items (M86 through M101) constitute action taken upon committee recommendation.

Mr. White introduced Mr. Brunjes, Interim Vice President for Fiscal Affairs, TTU, who made the following comments in regards to the 1997 Operating Budget for Texas Tech University:

Thank you Chair White, members of the Board and President Haragan. First, I want to recognize and thank the Fiscal Affairs staff that supported the development of this budget. This represents a comprehensive process and this staff has really done yeoman's service in terms of developing this budget.

The first item that I would like to bring to the Board is on page 2 of the Operating Budget Summary, reflecting via the pie chart the income that we have received for the education/general budget. This reflects that we received 63.2 percent of our education/general budget from appropriated funds. As a point of comparison, I looked back five years ago to the 1992 budget and the amount received in appropriated funds was 76.7 percent of our education/general budget. As you can see, it has dropped almost 13.5 percent in five years which reflects a trend in the state to direct more and more of the burden of higher education onto the students. The tuition and fees percent of the total budget in 1992 was 10.8 percent, on the chart that you have before you, it is 18.7 percent which denotes almost an eight percent increase as a portion of our total budget. In addition, other income, for



example, the general use fees that we now use to support, which is represented in our miscellaneous local income, is also being supported by the student fees. I think you can see the trend that more and more of our budget is being supported by direct student tuition and fees. Now, if you would please turn to the last page of the operating budget, page 11, and I will go through each of the major funds there and discuss the major changes from the 1996 operating budget to the 1997 operating budget.

If we look at the first area of education and general fund the increase is about 5.8 percent. We have allocated another \$1 million to DOE, that is an area of our budget that directly supports operating units in the colleges, and that has been flat funded for a number of years. This is an additional allocation to bring up operations of support of our academic units. In addition, as Mr. Cavin mentioned, we now have benefit replacement pay which is about \$2.5 million. We have several other minor items with the total increase at approximately \$7.4 million. In auxiliary funds, the major increases there which totaled \$3.3 million includes an increase in athletics, we are budgeting in the athletic budget the construction of a building at the south end of Jones Stadium that will be a \$1.5 million building and will be bringing that to the Board for approval at the August meeting. The University Center increase is \$500,000 and we will budget that for capital outlay. The residents halls had a minor increase and we will use that for elevator modernization, utility and computer expenditures. In current restricted funds, there is a modest increase totaling about \$2.5 million allocated and dedicated for specific projects, i.e. grants, research, etc. These accounts stand on their own and each account has to be fully funded and monitored separately. In the designated funds area, the primary increase there is in the general use fees which have been discussed. We plan to allocate additional funds to support the New Student Relations Office in to enhance recruitment efforts. Additionally, we plan to complete the campus high speed network which is a \$1.5 million project that was due to be completed in 1999 and has been accelerated to a 1997 completion date with funds allocated for the New Student Information System to support its implementation. To conclude, there are additional minor adjustments in terms of utilities as well as additions in designated funds such as allocating funds for Texas Public Education grants.

I would like to certify that the operating budget is within the funds available to Texas Tech University for operations and we recommend approval through the committee. Are there any questions?

Mr. Sims asked the purpose of the building being built close to Jones Stadium. Mr. Brunjes indicated that it would serve as a facility to support sports activities, Red Raider Club, etc.

- M86. Upon recommendation made by the Finance and Administration Committee, the following was unanimously approved, as amended by the Committee: *RESOLVED, that the Board of Regents approves the attached Texas Tech University Operating Budget for FY 1997 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*; Attachment No. M5.
- M87. Upon recommendation made by the Finance and Administration Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents, subject to compliance with Section 55.16(d) Texas Education Code, authorizes the President to approve the assessment and collection of the fees shown on the attached list from regularly enrolled and prospective students of Texas Tech University beginning with the Fall semester, 1996 except as noted*; Attachment No. M6.
- M88. Upon recommendation made by the Finance and Administration Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents approves the attached revision to Board of Regents Policy 04.03, Audits*; Attachment No. M7.

Mr. White introduced the item of revisions to the Board of Regents Investment Policy and asked Mr. Ed McGee, Assistant Vice President of Investments to comment on the recommended revisions. Mr. McGee made the following comments:

One of the main changes incorporated in the amendment clause is it broadens the types of funds that are eligible to participate--previously, only endowment funds were eligible. The revised policy allows us to consider common stocks and corporate bonds and other types of investment vehicles. Due to these recent changes, the types of institutional funds that are eligible to participate in this type of investment philosophy are now broader than just endowment funds. These would include only funds that the University and the Health Sciences Center has sole control over and would exclude funds such as state appropriated funds and education and general funds that we do not have the control over.

- M89. Upon recommendation made by the Finance and Administration Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents approves the revisions to Board of Regents Policy 05.06, Investment Policy Statement for Endowment and Funds; Attachment No. M8.*

Mr. White introduced the investment management firm item and made the following comments:

The Investment Committee interviewed five well known firms. The committee is comprised of two regents, the two chief financial officers, a representative from the Office of Development and Ed McGee, Assistant Vice President of Investments and some of his staff. We interviewed these firms last week and had a recommendation to appoint two of those. One, is INVESCO Capital Management out of Atlanta, --they are a \$34 billion asset company. The other firm is Davis, Hamilton, Jackson & Associates out of Houston, and they invest about \$1.5 billion. One is a value added firm and the other is a brokerage firm.

Dr. Noe asked if both firms have experience in dealing with similar institutions. Mr. White indicated that they did and that Tech would be investing \$10 million with each firm. Dr. Harris asked why the division of investment. Mr. White indicated that the committee wanted to mark one against the other to see what the returns will be.

- M90. Upon recommendation made by the Finance and Administration Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents approves the employment of the investment management firms of INVESCO Capital Management and Davis, Hamilton, Jackson & Associates, and authorizes the President to negotiate such contracts and execute any and all documents necessary for such employment.*
- M91. Upon recommendation made by the Finance and Administration Committee, the following was approved: *RESOLVED, that the Board of Regents approves the establishment of the Texas Tech Honors Scholarship Quasi Endowment by transferring \$1,000,000 from FY 1996 General Use Fee funds.*
- M92. Upon recommendation made by the Finance and Administration Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents authorizes the President to review and sign contract agreements between Texas Tech University and various natural gas suppliers and transportation vendors to receive benefits from price efficiency due to more competition among vendors and supply reliability due to supply and vendor diversity.*
- M93. Upon recommendation made by the Finance and Administration Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents approves the contract with the City of Lubbock to provide campus bus service for the period September 1, 1996 through August 31, 1997, and authorizes the President to sign the contract.*

- M94. Upon recommendation made by the Finance and Administration Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents approves the award of a contract to Chaparral Graphics Group, Inc., for printing of The University Daily for the period September 1, 1996 through August 31, 1998, and authorizes the President to sign the contract.*
- M95. Upon recommendation made by the Finance and Administration Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents approves the award of a contract to Southwest Coca-Cola Bottling Company, Inc., to provide canned drinks and snacks for the entire campus for the period September 1, 1996 through August 31, 2006, and authorizes the President to sign the contract.*
- M96. Item withdrawn.
- M97. Upon recommendation made by the Finance and Administration Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents approves the award of a contract to American State Bank at Lubbock, for the operation of a banking facility in the University Center, Texas Tech University, for the period September 1, 1996 to August 31, 1999, and authorizes the President to sign the contract.*
- M98. Upon recommendation made by the Finance and Administration Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents approves the award of a contract to Kwik-Wash Laundries, Inc., to provide a coin operated laundry service to the Residence Halls for the period August 1, 1996, through July 31, 2001 and authorizes the President to sign the contract.*
- M99. Upon recommendation made by the Finance and Administration Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents accepts the gift of an African art collection donated to Texas Tech University for The Museum by James Owens of Houston, Texas.*
- M100. Upon recommendation made by the Finance and Administration Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents accepts the gift of equipment donated to Texas Tech University for the College of Engineering by Fluke Corporation of Everett, Washington.*
- M101. Upon recommendation made by the Finance and Administration Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents ratifies the attached budget adjustments; Attachment No. M9.*
- M102. Dr. Harris reported for the Facilities Committee. The following six items (M103 through M108) constitute action taken upon committee recommendation.
- M103. Upon recommendation made by the Facilities Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents authorizes the President to take necessary actions in accordance with the pertinent facts identified in the Board item to initiate the planning process for an arena for Texas Tech University.*
- M104. Upon recommendation made by the Facilities Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents approves naming the existing west wing addition to the Electrical Engineering Building, sometimes referred to as the Electrical Engineering Annex, to The Charles A. Bassett, II Laboratories.*
- M105. Upon recommendation made by the Facilities Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents authorizes the President to execute a listing agreement with a real estate brokerage firm for the marketing and sale of the Pyramid Plaza Office Building.*

M106. Upon recommendation made by the Facilities Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents authorizes the President or his designee to execute a brokerage agreement with a professional farm and ranch real estate brokerage firm for the marketing and sale of the Proctor Ranch.*

M107. Upon recommendation made by the Facilities Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents authorizes the President to proceed with the project, approves the schematic design, and authorizes the President to proceed with contract documents and the receipt of bids, and to award a construction contract for the renovation and air conditioning of the Engineering and Technology Labs Building.*

*BE IT FURTHER RESOLVED, that the project budget is established at \$2,700,000.*

M108. Upon recommendation made by the Facilities Committee, the following was unanimously approved: *RESOLVED, that the Board of Regents ratifies the administrative actions relating to Facilities as follows:*

- a. *To record February 21, 1996, as the completion date for Dan Law Field - Phase IV, Stadium Seating*
- b. *To record march 26, 1996, as the completion date for the renovation of the R.P. "Bob" Fuller Track*
- c. *The agreement between First USA Bank and Texas Tech University to provide a scoreboard in exchange for marketing and advertising rights, and the authorization for the President to sign the contract.*

M109. Chair Whitacre called on Dr. Haragan for the President's Report; Attachment No. M10.


Chair Whitacre thanked Dr. Haragan and asked the Board for questions of Dr. Haragan. Chair Whitacre then congratulated Dr. Racz, Dean Newton, Dr. Hendrick and Dr. Murray and thanked them for their dedication to Texas Tech. Chair Whitacre asked for questions/comments from the audience. There were none.

M110. There being no further business, the meeting adjourned.

Attachments:

1. State Strategic Plan; Item M78.
2. Revisions to Student Affairs Handbook; Item M80.
3. Continuing appointments: Librarians and Archivists; Item M82.
4. Leaves of absence; Item M84.
5. Operating Budget for FY 1997; Item M86.
6. Global Fee Document; Item M87.
7. Revision to Board of Regents Policy 04.03, Audits; Item M88.
8. Revision to Board of Regents Policy 05.06, Investment Policy Statement for Endowment and Funds; Item M89.
9. Budget Adjustments; Item M101.
10. President's Report; Item M109.

I, Donna Davidson Kittrell, 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 Board of Regents meeting on May 10, 1996.

  
Donna Davidson Kittrell  
Assistant Secretary

SEAL

## AGENCY STRATEGIC PLAN

For the 1996-2001 Period

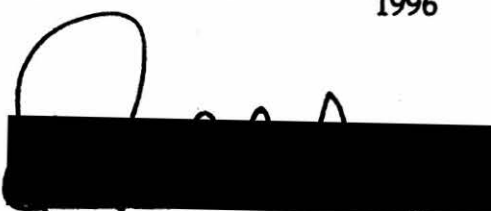
by

Texas Tech University


Board Member	End of Term	Hometown
Mr. J. Robert Brown	1/31/2001	El Paso, Texas
Dr. Bernard A. Harris, Jr.	1/31/1999	Houston, Texas
Mrs. Patsy Woods Martin	1/31/1997	Austin, Texas
Dr. Carl E. Noe	1/31/1999	Dallas, Texas
Mr. John C. Sims	1/31/1997	Lubbock, Texas
Mr. James E. Sowell	1/31/2001	Dallas, Texas
Mrs. Elizabeth Ward	1/31/1997	Longview, Texas
Mr. Edward E. Whitacre	1/31/1999	San Antonio, Texas
Mr. Alan B. White	1/31/2001	Lubbock, Texas

1996

Signed:

  
Donald R. Haragan  
President

Approved:

  
Edward E. Whitacre, Jr.  
Chairman of the Board of Regents



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## TEXAS TECH UNIVERSITY

### The Statewide Vision

*Together, we can make Texas a beacon state. A state where our laws encourage jobs and justice. A state that frees our greatest resource—our people—to achieve their highest potential. A state where our children receive an excellent education so they have skills to compete in the next century. A state where people feel safe in their communities, and all people know the consequences of committing crime are swift, sure, and outweigh any potential reward. And a state where each citizen accepts responsibility for his or her behavior. We envision a state where it continues to be true that what Texans can dream Texans can do.*

### The Mission of Texas State Government

*The mission of Texas state government is to support and promote individual and community efforts to achieve and sustain social and economic prosperity.*

### The Philosophy of Texas State Government

State government will be ethical, accountable, and dedicated to the public being served. State government will operate efficiently and spend the public's money wisely.

State government will be based on four core principles that will guide decision-making processes.

<b>Limited and Efficient Government</b>	<i>Government cannot solve every problem or meet every need. State government should do a few things and do them well.</i>
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<b>Local Control</b>	<i>The best form of government is one that is closest to the people. State government should respect the right and ability of local communities to resolve issues that affect</i>
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*them. The state must avoid imposing unfunded mandates.*

***Personal Responsibility***      *It is up to each individual, not government, to make responsible decisions about his or her life. Personal responsibility is the key to a just society. State employees, too, must be accountable for their actions.*

***Support for Strong Families***      *The family is the backbone of society and, accordingly, state government must pursue policies that strengthen and nurture Texas families.*

Texas state government should serve the needs of our state but also be mindful of those who pay the bills. By providing the best service at the lowest cost and working in concert with other partners, state government can effectively direct the public's resources to create a positive impact on the lives of individual Texans. The people of Texas expect the best, and state government must give it to them.

## **The Goals of Texas State Government**

### ***Education - Public Schools***

**Priority Goal:**      *To ensure that all students in the public education system learn to read at grade level by the end of the third grade, continue reading at grade level, and demonstrate exemplary performance in language arts, mathematics, social studies, and science.*

### *Education - Higher Education*

Priority Goal: *To provide a cost-effective system of higher education which prepares individuals for workforce demands and furthers the development of knowledge through instruction and research.*

### *Health and Human Services*

Priority Goal: *To reduce dependence on public assistance through an efficient and effective system that promotes the health, responsibility, and self-sufficiency of individuals and families.*

### *Public Safety and Criminal Justice*

Priority Goal: *To protect Texans from crime by holding individuals accountable for their actions through swift and sure punishment.*

### *Economic Development*

Priority Goal: *To foster economic opportunity, job generation, and capital formation by providing quality business services, preparing the workforce for productive employment, and supporting infrastructure development.*

### *Natural Resources*

Priority Goal: *To conserve the state's environment through prudent stewardship of the state's natural resources.*

### *General Government*

Priority Goal: *To support effective and efficient state government operations.*

### *Regulatory*

Priority Goal: *To ensure that communities are served by high quality professionals and businesses by setting clear standards, maintaining compliance, and seeking market-based solutions.*

## TEXAS TECH UNIVERSITY

### Institutional Mission

The joint mission of Texas Tech University and the Texas Tech University Health Sciences Center is:

"to provide the highest standard of excellence in higher education, while pursuing continuous quality improvement, stimulating the greatest degree of meaningful research and supporting faculty and staff in satisfying those whom we serve."

The purpose of Texas Tech University is as follows:

"Texas Tech University is a public, comprehensive, research university committed to the creation, advancement, dissemination, and preservation of knowledge. This commitment encompasses achieving excellence in the interrelated areas of undergraduate, graduate, and professional education, basic and applied research, and public service programs. The University's educational role is to assist students to realize their potential in becoming scholars, professionals, citizens, artists, and scientists. The University's research role is to provide an environment for the expansion of knowledge and to contribute to local, regional, and national priorities through basic and applied research programs, centers, and institutes. The University's public service role is to meet the educational needs of the region and the nation."

## TEXAS TECH UNIVERSITY

### **Institutional Philosophy**

Texas Tech University and Texas Tech University Health Sciences Center are individual entities which comprise the whole of Texas Tech, and which, in the historic tradition of institutions of higher learning, are dedicated to providing the highest quality of education and instruction, research, and service to all of their constituents, including students, faculty, staff, administration, alumni, parents, patients, and members of the greater community.

## TEXAS TECH UNIVERSITY

### The External/Internal Assessment

#### I. OVERVIEW

Texas Tech University, one of the state's four major research universities, is the only one located in the western two-thirds of Texas. Texas Tech University and Texas Tech University Health Sciences Center share a 1,839-acre main campus in Lubbock. This ground-sharing of the two institutions is the only such common-campus arrangement among universities in the state.

Students from 50 states and 99 foreign countries annually enroll in the university, which was founded in 1923. Students choose fields of study from 140 undergraduate, 100 master's and 53 doctoral programs. The university is comprised of seven colleges: Agricultural Sciences and Natural Resources, Architecture, Arts and Sciences, Business Administration, Education, Engineering and Human Sciences as well as a Graduate School and School of Law. In addition to the main Lubbock campus, Texas Tech University operates an East Lubbock research campus; a 400-acre South Texas center at Junction; a 15,822-acre agricultural research site in Amarillo; a 980-acre Lubbock County Field Laboratory; and a 90-acre natural sciences and archaeological field laboratory in Val Verde County.

#### II. INSTITUTIONAL ORGANIZATION

Texas Tech University and the Texas Tech Health Sciences Center are administered by a nine member Board of Regents through a President, also serving both institutions. Each institution has an Executive Vice President and Provost and appropriate administration unique to that institution. The presidential staff includes shared service areas such as General Counsel, Governmental Relations, Institutional Advancement, and Administration. In addition, University Intercollegiate Athletics also reports directly to the President.

Each of the seven colleges and two schools is directed by a Dean that reports to the Executive Vice President and Provost. Major nonacademic areas of administration include Fiscal Affairs and Student Affairs, each headed by a Vice President. In addition, there are a number of other support areas that report through other administrative officials to the Executive Vice President and Provost. These include Libraries, Research Services, Museums, University Press, Continuing Education, International Affairs, Plant Services, Operations, and Information Technologies.



### III. FISCAL ASPECTS

Increased support will be required for higher education to sustain the present level of effort at the present quality. Capital renewal and deferred maintenance costs for university facilities continue at the critical stage. These factors paradoxically come at a time when most states, including Texas, are looking to reduce their investment in higher education, at least as a percentage of the total.

### IV. SERVICE POPULATION DEMOGRAPHICS

#### Service Area

The service area of Texas Tech University is truly state and nation wide, drawing large numbers of students from each of the major metropolitan areas of the state. This is illustrated by the fact that 62% of the undergraduate students and an even larger percentage of graduate students come from an area of the state or nation farther than 100 miles from Lubbock. The second largest service area is the Dallas-Fort Worth metroplex, providing almost 20 percent of the approximately 20,000 Texas Tech University undergraduate students.

#### Population Growth and Changes

Nationally, the college entry age population has bottomed and should increase slowly through the year 2020. The Texas population is expected to follow the same trend. West Texas and Lubbock are expected to experience a lower rate of growth than the state average.

Minority populations are expected to increase faster than average at the national, state, and local levels. This is especially true of the Hispanic population which is expected to grow dramatically as a percentage of the overall population of Texas.

#### Students

Nationally, the pool of traditional college-age students is contracting and will continue to do so through 1998. However, college and university enrollments will continue to increase in Texas. This is in keeping with the overall tendency for growth of the state.

Students will bring a greater diversity of skills (especially in areas rich in technology) along with a greater variety of values, needs, and problems to

higher education. Access, achievement, and matriculation of minority students will remain an important issue.

Lifelong learning opportunities will be necessary to prepare individuals for a changed society and for jobs and lifestyles increasingly based on the creation and distribution of information.

The 24,185 students enrolled at Texas Tech University in the fall semester of 1995 consisted of 19,796 undergraduates in the various colleges, 623 in the School of Law, and 3,766 in the Graduate School. There were 11,076 females and 13,109 males. Ethnic composition included 683 black, 2,418 Hispanic, and 19,575 white students, as well as 1,509 in all other ethnic categories.

## V. TECHNOLOGICAL DEVELOPMENTS

New technology will facilitate an increasing capacity to store, analyze, retrieve, and disseminate data and information in areas such as instruction, research, and administration at universities. In turn, this creates pressure to revise curricula, renovate facilities, and make capital investments in technology.

The information revolution is also creating new stresses on society and upon societal institutions, including state government and institutions of higher education.

## VI. ECONOMIC TRENDS

### General

The United States is part of a global economy and is not dominating for the most part. Major political and social changes continue to be the rule throughout much of the world. The near term outlook for the national economy is unclear.

Forecasts by the Comptroller of Public Accounts and the Legislative Budget Office project moderate growth in the state economy. This promises some relief to the pressure to meet the rising cost of critical services, including the cost of higher education.

### Graduates in the Work Force

New human resources will be sought by business and industry. Many new jobs will require post-secondary education, with increasing demand for an advanced degree or professional certificate. Many of these jobs will require advanced technical training.

The state of Texas continues to experience a shortage of teachers. The most pressing demands are for bilingual, special education, mathematics, and science teachers. There is a continued shortage of minority teachers. In this environment, excellent faculty members, both in and out of higher education, will be in great demand by industry and by other areas of education.

## **VII. OTHER SIGNIFICANT EXTERNAL FACTORS**

### Research and Development

The reservoir of basic research that was accumulated in the 1960's was absorbed into the realm of applied research with remarkable speed during the 1970's. Resulting from a lesson learned, emphasis on technology transfer and applied research will continue to grow throughout the remainder of the 1990's. The research infrastructure will be rebuilt through partnerships between the federal government, universities, and industry, and through other alliances.

### Accountability

The demand for accountability in higher education will have an increasing impact over the planning period. Texas Tech University will face increased demand from students and parents, state and federal government, and accrediting agencies. The guidelines for the institutional self-study from the Southern Association of Colleges and Schools include new requirements for assessment of effectiveness of institutional programs.

## **VIII. OTHER SIGNIFICANT INTERNAL FACTORS**

### Admission Standards

In the 1989 fall semester there began a phased approach to increasing the standards governing the admission of undergraduate students at Texas Tech University. The final phase of the three year planned program was implemented in the 1991 fall semester, and admission standards will continue to evolve toward a more rigorous standard in future years.

After declining at the time of the implementation of new standards, undergraduate enrollment has increased slowly but steadily. After leveling off, graduate enrollment is expected to increase in the future. Since the new standards were implemented, SAT scores of new freshmen have increased as has the retention of these students.

Continued efforts to improve the recruitment and retention of undergraduate students will be essential if the present number of students is to be increased or even maintained. This will require additional resources in the form of scholarships and other incentives.

#### Common Needs in the Colleges and Schools

Stipends for Teaching Assistants and Research Assistants at Texas Tech University are significantly below those at comparable institutions. An overall remedy to this problem is key to growth in graduate programs, which in turn is essential if the institution is to continue to strive to be among the nation's best. An aggressive program to raise stipends is necessary and is especially crucial to the recruitment of quality minority graduate students.

The minority population of Texas is increasing faster than the majority population. Yet Texas Tech University's percentages of minority students and faculty are lower than the percentages in the state. Minority students represent a largely untapped pool of resources for the state. An aggressive program of recruitment and retention of minority students and faculty is essential.

Faculty salaries at Texas Tech University remain below both the state and national averages for comparably ranked universities. This continues to impede the ability to recruit and retain the first-rate faculty necessary to attain and maintain major university status. An aggressive program to increase faculty salaries in all academic ranks is necessary.

Computers and information technologies are essential tools for instruction and research in all parts of the university. Yet funds are insufficient to obtain new technologies and for technical support, maintenance of equipment, and replacement of obsolete equipment. An aggressive program that addresses these problems is essential.

#### Institutional Advancement

Institutional advancement continues to be a major area of increased emphasis as evidenced by the following: Texas Tech's endowment has grown from some \$32 million in mid-year 1989 to more than \$95 million today. The

Presidential Endowed Scholarship program has grown from 7 to 315 in the same period, up from 238 in 1994.

The planning efforts that previously had led to the development of increased admission standards were reinforced through the initiation of further strategic planning efforts. The first phase of this planning identified key areas of opportunity and began to make an investment in such areas. Subsequent phases continue as resources are redistributed and key areas are identified and enhanced.

Texas Tech University continues to work to improve the overall quality of its public service. A program is in place which provides training to all employees in order that they might be more service oriented and cognizant of the importance of the students of our institution and, more generally, the citizens of the State of Texas.

## TEXAS TECH UNIVERSITY

### Strategic Planning

#### Goals/Objectives/Strategies

**A. Goal: PROVIDE INSTRUCTION**

**A.1. Objective: Conduct Teaching**

**Outcomes:**

Percent of course completers

Percent of lower division courses taught by tenured or tenure track faculty

Percent of first-time, full-time, degree-seeking freshman who earn a baccalaureate degree within six academic years

Retention rate of first-time, full-time, degree seeking freshman students after one academic year

Retention rate of TASP students requiring remediation after one academic year

State licensure examination pass rate of law graduates

State licensure examination pass rate of engineering graduates

State pass rate of education EXCET exam

**A.1.1. Strategy: FACULTY SALARIES**

**Outputs:**

Number of undergraduate degrees awarded

Number of minority graduates

**Efficiencies:**

Student enrollment on the last semester day as a percent of those enrolled on the twelfth class day

Retention rate of first-time, full-time, degree-seeking freshmen students after one academic year

Retention rate of TASP student requiring remediation education after one academic year

Percent of first-time, full-time, degree-seeking freshmen who earn a baccalaureate degree within six academic years

**A.1.2. Strategy: DEPARTMENTAL OP EXPENSE**

**A.2. Objective: Provide Academic Support**

**A.2.1. Strategy: INSTRUCTIONAL ADMINISTRATION**

Instructional administration

**A.2.2. LIBRARY**

**A.2.3. ORGANIZED ACTIVITIES**

**A.3. Objective:** Provide Special Item Instructional Support

**A.3.1. Strategy:** SCHOLARSHIPS

Need Based Scholarships

Summer Program for Entering Minorities

**A.3.2. Strategy:** LEGAL CENTER/LIBRARY

West Texas Legal Resource Center/Library Enhancement

**A.3.3 Strategy:** ACADEMIC SUPPORT

Academic operations support

**A.3.4. Strategy** PUBLIC EDUCATION GRANTS

Texas Public Education Grants

**A.3.5. Strategy:** FORMULA HOLD HARMLESS

Formula Funding Hold Harmless

**B. Goal:** CONDUCT RESEARCH

**Outcomes:**

External or sponsored research funds as a percent of state appropriations

Dollar value of external or sponsored research funds (in millions)

**B.1. Objective:** Conduct Basic Research

**B.1.1. Strategy:** RESEARCH ENHANCEMENT

**B.2. Objective:** Conduct Special Item Directed Research

**B.2.1. Strategy:** RANGELAND MANAGEMENT

Research in Rangeland Management

**B.2.2. Strategy:** TEXTILE RESEARCH

International Textile Center

**B.2.3. Strategy:** WATER CONSERVATION

Research in Water, Water Conservation and Reuse

**B.2.4. Strategy:** ALTERNATE ENERGY SOURCES

Research in Alternate Sources of Energy, Including Wind Engineering

**B.2.5. Strategy:** AGRI, BUSINESS ADMIN, ENG

Research in Agriculture, Business Administration, Engineering, and Human Sciences, Including Leather Industry Research

**B.2.6. Strategy:** EFFICIENT BEEF PRODUCTION

Efficient Beef Production Research

**B.2.7. Strategy:** ARID AND SEMI-ARID LANDS

Research on Problems of Arid and Semi-arid Lands

**B.2.8. Strategy:** FIRE ANT RESEARCH

**B.2.9. Strategy:** ROBOTICS & HIGH TECH

Applied Research in Robotics and High Technology

**B.2.10. Strategy:** WINE MARKETING & ENOLOGY

Wine Marketing and Enology Research

**B.2.11. Strategy:** COTTON ECONOMICS RESEARCH

Cotton Economics Research



- B.2.12. Strategy: BIOTECHNOLOGY RESEARCH
- B.2.13. Strategy: BIOLOGICAL DATABASE
- B.2.14. Strategy: INDIRECT COST  
Indirect Cost Recovery for Research Related Activities
- B.2.15. Strategy: FEED INSTITUTE
- B.2.16 Strategy: VIETNAM RESEARCH CENTER

**[ New Special Items Proposed ]**

- B.2.17. Strategy: Animal Agriculture Issues of Importance to Society
- B.2.18. Strategy: Center for Agricultural Technology Transfer
- B.2.19. Strategy: Wildlife and Fisheries Research
- B.2.20. Strategy: High Plains Agriculture and Natural Resources for  
the 21st Century (Joint with Texas A&M University)
- B.2.21. Strategy: Texas Center for Materials Research
- B.2.22. Strategy: Center for Applied Human Biomechanics
- B.2.23. Strategy: Control and Systems Engineering Center
- B.2.24. Strategy: Expansive Soil Research
- B.2.25. Strategy: Nutrition and Health Initiative
- B.2.26. Strategy: Center for the Study of Addiction
- B.2.27. Strategy: Texas Tech University - Region XVII Independent  
School Districts Academy
- B.2.28. Strategy: Center for Student Retention Studies
- B.2.29. Strategy: Minority Teacher Recruitment Center

**C. Goal: PROVIDE PUBLIC SERVICE**

- C.1. Objective: Provide Special Item Public Service Support
  - C.1.1. Strategy: JUNCTION ANNEX OPERATION
  - C.1.2. Strategy: SMALL BUSINESS DEVELOP  
Small Business Development Center
  - C.1.3. Strategy: TEXAS TECH UNIVERSITY MUSEUM  
Texas Tech University Museum
  - C.1.4. Strategy: CULTURAL CENTER  
International Cultural Center

**[ New Special Items Proposed ]**

- C.1.5. Strategy: Semiconductor Science Education
- C.1.6. Strategy: International Trade Center

**D. Goal: INSTITUTE/ANCILLARY OPERATIONS**

Provide Institutional Support and Ancillary Operations

**D.1. Objective: Provide Institutional Support**

**D.1.1. Strategy: INSTITUTIONAL SUPPORT**

General Administration

General Institutional Expense

Campus Security

**Efficiencies**

Administrative cost as a percent of total institutional educational and general expenditures

**D.2. Objective: Provide Student Services**

**D.2.1. Strategy: STUDENT SERVICES**

**D.2. Objective: Provide Staff Benefits to Eligible Employees**

**D.3.1. Strategy: STAFF GROUP INSURANCE**

Staff Group Insurance Premiums

**D.3.2. Strategy: RETIREMENT CONTRIBUTION ADJUSTMENT**

**D.4. Objective: Provide Operation and Maintenance of Plant**

**D.4.1. Strategy: PLANT SUPPORT SERVICES**

**D.4.2. Strategy: BUILDING MAINTENANCE**

**Efficiencies:**

Space utilization rate of classrooms

Space utilization rate of labs

**D.4.3. Strategy: CUSTODIAL SERVICES**

**D.4.4. Strategy: GROUNDS MAINTENANCE**

**D.4.5. Strategy: UTILITIES**

**D.5. Objective: Provide Special Item Institutional Support**

**D.5.1. Strategy: TUITION REVENUE BONDS**

Tuition Revenue Bond Retirement (Ed. Code Sec. 55.17)

**D.5.2. Strategy: SKILES ACT REVENUE BOND**

Skiles Act Revenue Bond Retirement (Ed. Code Sec. 55.17(d))

**E. Goal: HUB GOAL**

Establish and carry out policies governing purchasing and contracting that foster meaningful and substantive inclusion of historically underutilized businesses.

**E.1. Objective: Increase HUB Utilization**

To increase 100% from fiscal year 1994 to fiscal year 1999 the total value of purchases and contracts, including subcontracts, awarded annually by the agency in purchasing and contracting to historically underutilized businesses.

**Outcomes:**

Total Dollar Value of Purchasing and Contracts, including Subcontracts,  
Awarded to HUBs

**E.1.1 Strategy:**

Develop and implement an action plan for increasing the use of  
historically underutilized businesses through purchasing and  
contracts including subcontracts

**Outputs:**

Number of HUB vendors and contractors including subcontractors  
contacted for bid proposals

Number of HUB vendors and contracts including subcontracts  
awarded

Dollar value of HUB vendors and contracts including subcontracts  
awarded

TEXAS TECH UNIVERSITY  
PERFORMANCE MEASURES

YEAR	1997	1998	1999	2000	2001
Number of undergraduate degrees	3,100	3,100	3,100	3,100	3,100
Number of minority graduates	325	325	325	325	325
Community College transfer graduates	500	500	500	500	500
Percent of lower division courses taught by tenured or tenure track faculty	30%	30%	30%	30%	30%
Number of minority students enrolled (Fall only)	3,000	3,000	3,000	3,000	3,000
Number of Community College students enrolled	3,500	3,500	3,500	3,500	3,500
Headcount enrollment	24,000	24,000	24,000	24,000	24,000

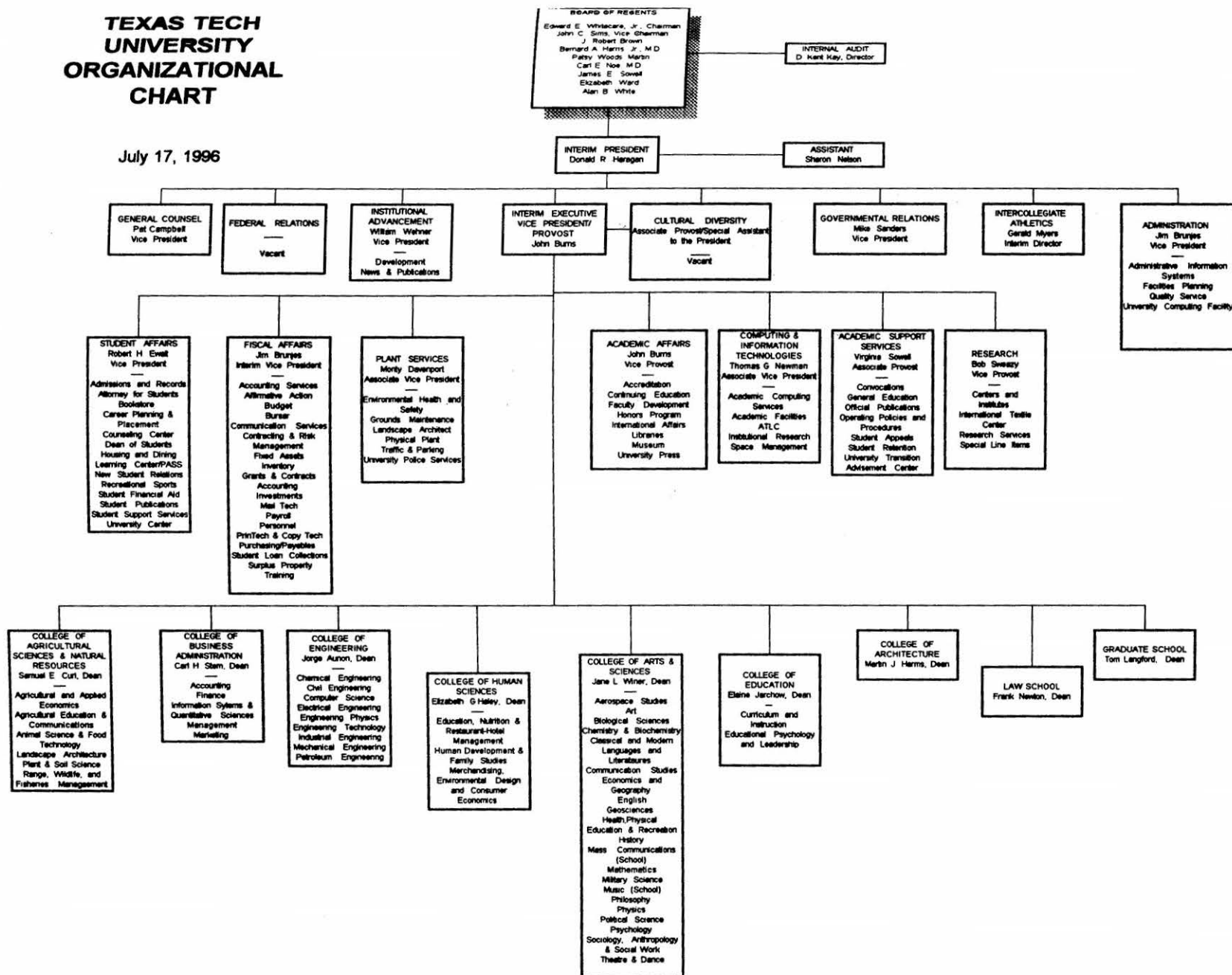
YEAR	1997	1998	1999	2000	2001
Percent of courses completers	91%	91%	91%	91%	91%
Percent of freshmen who graduate within 6 years					
All Freshmen	40%	40%	40%	40%	40%
White Freshmen	41%	41%	41%	41%	41%
Hispanic Freshmen	23%	23%	23%	23%	23%
Black Freshmen	22%	22%	22%	22%	22%
Other Freshmen	36%	36%	36%	36%	36%
Percent of freshmen retained after one year					
All Freshmen	75%	75%	75%	75%	75%
White Freshmen	76%	76%	76%	76%	76%
Hispanic Freshmen	61%	61%	61%	61%	61%
Black Freshmen	63%	63%	63%	63%	63%
Other Freshmen	76%	76%	76%	76%	76%
Percent of TASP students retained after one academic year	62%	62%	62%	62%	62%
Dollar amount of externally funded research (Million \$)	13.6	13.6	13.6	13.6	13.6
External research as a percent of state appropriations	12.1%	12.1%	12.1%	12.1%	12.1%
Utilization of classrooms in hours per week	26	26	26	26	26

YEAR	1997	1998	1999	2000	2001
Successful remediated students	705	705	705	705	705
State Licensure Examinations					
Law Exam	88%	88%	88%	88%	88%
Engineering Exam	75%	75%	75%	75%	75%
Education EXCET Exam	86%	86%	86%	86%	86%
Student/Faculty Ratio	18.6	18.6	18.6	18.6	18.6
Total dollar value of purchasing and contracts, including subcontracts, awarded to HUBs (\$000). 1995 base: 978	1,467	1,711	1,955	1,955	1,955

† Pass rates on examinations are subject to external influence. For example, changes to the State Licensure examination by the State Board of Law Examiners may influence the pass rate. Relative positions by various Law Schools, however, may or may not be affected by these changes.

# TEXAS TECH UNIVERSITY ORGANIZATIONAL CHART

July 17, 1996





## APPENDIX A

### Identification of Related Planning Requirements

Texas Tech University submits several reports to the Texas Higher Education Coordinating Board on a periodic basis. In the event that periodic reports are required in conjunction with the state-wide strategic planning activities, there will be a considerable amount of duplication. Existing reports should be examined for opportunities to eliminate those that do not contribute directly to the management of higher education or that are duplicative.

Texas Tech University regularly submits a Campus Master Plan to the Texas Higher Education Coordinating Board which explains the need for capital improvements including new construction as well as maintenance and renovation of existing facilities. The needs related to deferred maintenance are addressed in this plan.

Texas Tech University submits a Strategic Plan for Information Resources Management each biennium to the Department of Information Resources. This plan is supported by a biennial operating plan as well as numerous requests for reports related to procurement of equipment and services and for information on a variety of subjects. The decisions that are involved in the efficient management and effective utilization of information systems are implicit in the agency strategic planning process. The plans, reports and other documents submitted to the Department of Information Resources should no longer be required.

## APPENDIX B

### Agency Planning Process

In preparation for the planning process, representatives of Texas Tech attended all activities scheduled by the state in prior years that provided information and training on strategic planning.

To oversee the development of the strategic plan, a committee was appointed by the Executive Vice President and Provost. The membership was as follows:

#### Member Title

Associate Vice President for Computing and Information  
Technologies (Committee Chair)  
Vice Provost for Academic Affairs  
Vice Provost for Research  
Dean of Arts and Sciences  
Dean of the Graduate School  
Dean of Agricultural Sciences and Natural Resources  
Associate Vice President for Business Affairs  
Director of Housing and Dining

After considerable deliberation, including a review of the 1994 Agency Strategic Plan, the committee produced a draft of the plan. This draft was widely discussed among university administrators and many suggestions were subsequently incorporated. The circulation list included the Office of the President, the Executive Vice President and Provost and staff, and the academic deans. The plan was discussed, amended, and recommended for approval at a regular meeting of the Provost's Council.

Following review as described above, a final draft was written and submitted to the President and the Executive Vice President and Provost for their review and approval. The final plan was drafted and submitted to the Board of Regents for approval.

## APPENDIX C

### Comments Regarding Statewide Vision and Functional Goals

Texas Tech commends the state government for the development of a concise, well-organized statement of the vision, philosophy, mission, and goals of the State of Texas. We are appreciative of the fact that the state values education at all levels, as reflected by the inclusion of statewide educational goals. Texas Tech is pleased to contribute to each of the statewide goals. We are optimistic that the State will provide the resources necessary to achieve these goals.

### Executive Summary

Proposed revisions to Part IX. *Code of Student Conduct* of the Student Affairs Handbook are noted in the attached document. The recommended revisions include primarily editorial changes and clarification of disciplinary procedures. The most pertinent recommended revisions are summarized as follows:

#### Part IX. *Code of Student Conduct*

- Introduction: minor editorial changes to include moving the questions of interpretation statement to the beginning of the document instead of the end of the document;
- Section A: minor editorial changes with respect to procedure statements covered elsewhere in the document;
- Section B: minor policy change to address the recent Texas concealed handgun law and minor editorial changes to the computer and network equipment area to be consistent with other university policies;
- Section C: minor editorial change to clarify the cheating definition by dividing the area into subgroups;
- Section D: minor editorial changes to include the terminology administrative and committee disposition hearings instead of formal and informal disposition hearings and minor editorial changes to clarify the disciplinary procedures;
- Section E: minor editorial changes to clarify possible sanctions, conditions, and/or restrictions to include defining the types of suspensions;
- Section F: minor editorial changes to clarify the disciplinary appeal process;
- Section G: minor editorial changes to clarify this section and the process;
- Section H: minor editorial changes to clarify the appointment of the Code committees.

## Part IX *Code of Student Conduct*

The *Code of Student Conduct* at Texas Tech University is administered through the Dean of Students ~~Office~~ and is educationally based on promoting a tradition of excellence regarding student behavior. ~~The A goal of the Code of Student Conduct promotes is to~~ promote that acceptable standards of behavior are communicated, understood, and upheld by the students ~~who attend of~~ Texas Tech University.

~~The Human Dignity Statement stresses the significance of each person's self-worth and dignity, that bigotry will not be tolerated, and that students are responsible for their own lives and thus the decisions that they make. The Dean of Students or designee Office will shall encourage and facilitate a campus environment where students take responsibility for their actions and inactions. Through a well-defined student discipline process and the Code of Student Conduct, the Dean of Students or designee Office will shall educate the importance and significance of students about their rights and responsibilities as members of the Texas Tech University Community. In addition, the Dean of Students or designee Office will shall promote the importance of intellectual development, self-worth, mutual respect, and how these themes of living and learning impact all of us, and how we, as members of the University community, interact with each other on a daily basis.~~

Questions of interpretation regarding the *Code of Student Conduct or Student Affairs Handbook* shall be referred to the Dean of Students or designee Office. The *Code of Student Conduct* shall be reviewed every year under the direction of the Dean of Students and Vice President for Student Affairs. The *Code of Student Conduct* and *Student Affairs Handbook* may, at the sole discretion of the University, be amended at any time. (Moved from end of document)

### A. General Policy

Freedom of discussion, inquiry, and expression is fostered by an environment in which the privileges of citizenship are protected and the obligations of citizenship are understood. Accordingly, the University has developed regulations pertaining to students and registered student organizations. Students and registered student organizations are subject to disciplinary action according to the provisions of the *Code of Student Conduct*.

Student and registered student organization conduct on University premises or at University-sponsored events is subject to University's disciplinary jurisdiction. The University may enforce its own disciplinary policies and procedures when student or registered student organization conduct directly, seriously, or adversely interferes with or disrupts the overall mission, programs, or other functions of the University.

University disciplinary proceedings may be instituted against a student or registered student organization ~~charged with alleged to have violated violating~~ the *Code of Student Conduct*. Proceedings under the *Code of Student Conduct* may be carried out prior to, simultaneously with, or following civil or criminal proceedings off campus. The proceedings shall be conducted in a manner which ensures that substantial justice is done and shall not be restricted by the rules of evidence governing criminal and civil proceedings. (From D. 4d)

~~To file a complaint an allegation against a student or registered student organization, individuals may either meet with a University official or deliver a written allegation complaint addressing the action or behavior that has occurred to the Dean of Students Office and/or designee. (Move to D.1)~~

~~Once a formal complaint allegation has been filed, the Dean of Students or designee shall Office will:~~

- ~~a) conduct an investigation inquiry (usually five (5) university working days) (Covered in D.2)~~
- ~~b) inform student(s) in writing of the alleged violations (students have five (5) University working days from the date of the letter to respond) (Covered in D.2a)~~
- ~~c) conduct an informal/formal administrative or committee disposition hearing (Covered in D.2c)~~
- ~~d) deliver a decision. (Covered in D. 2d)~~

~~This informal The administrative disposition hearing process usually is completed within twenty (20) University working days from the time the formal complaint was allegation is filed. (Moved to D. 3d) The committee disciplinary hearing process may take longer than the administrative hearing process (Moved to D. 4)~~

~~A University official from the The Dean of Students Office or designee may deliver sanctions ranging from reprimands to disciplinary probation. through informal disposition or recommend a referral to the University Discipline Committee for For cases involving possible deferred and/or disciplinary suspension the Dean of Students or designee may refer cases to the University Disciplinary Committee. (Moved to E.) through formal committee disposition. Students or registered student organizations may also request their case to cases be heard by the University Discipline Committee for formal disposition in lieu of an informal disposition hearing with a University official from the Dean of Students Office. (Covered under D.2c)~~

## B. Misconduct

Any student or registered student organization found to have committed the following misconduct is subject to the disciplinary sanction(s), condition(s), and/or restriction(s), outlined in Part IX, of the *Student Affairs Handbook*. ~~Examples of conduct for which disciplinary action may be taken include, Misconduct includes, but are is~~ not limited to:

1. Alcoholic Beverages
  - a. Use, possession, intoxication sale, or distribution of alcoholic beverages is ~~prohibited~~ on University premises;
  - b. Intoxication on University premises.
2. Narcotics or Drugs

Use, possession, sale, or distribution of any narcotic, drug, unprescribed medicine, chemical compound or other controlled substance or paraphernalia ~~is prohibited~~ on University premises, except as expressly permitted by law. Students found in violation of this section will be subject to disciplinary suspension from the University.
3. Firearms, Weapons, and Explosives

The possession of weapons including handguns, firearms, ammunition, fireworks, explosives, noxious materials, incendiary devices or other dangerous substances ~~is~~

~~prohibited~~ on University premises is prohibited. Possession of weapons on University premises is prohibited even by licensed holders of concealed handguns. The University Police Department provides storage for weapons and firearms.

4. Theft, Damage or ~~Misuse~~ Unauthorized Use
  - a. Theft is defined as attempted or actual theft of property of the University, of other University students, of other members of the University community, or of campus visitors. Possession of property, knowing it to be stolen, is theft;
  - b. Damage is defined as attempted or actual damage to property of the University, of other University students, of other members of the University community, or of campus visitors;
  - c. ~~Misuse or attempted misuse~~ Unauthorized use is defined as attempted or actual use of credit cards, telephone cards, and/or personal check including forgery, alteration, or misrepresentation of any form of identification.
5. Actions Against ~~Persons or Groups include~~ Members of the University Community
  - a. Physical harm or threat of harm to any person;
  - b. Intentional, reckless, or negligent conduct which endangers the health or safety of any person;
  - c. Disruptive behavior;
  - d. Harassment, including sexual harassment, acts, or communications that are intended to ~~harass~~, intimidate, or humiliate any student person;
  - e. Excessive pressure, harassment, threats, or any form of conduct, coercive tactics or mind control techniques used to retain or recruit a student for membership in an organization;
  - f. Participation in a campus demonstration which disrupts the normal operations of the University and infringes on the rights of other members of the University community; leading or inciting others to disrupt scheduled and/or normal activities within any campus building or area; intentional obstruction which unreasonably interferes with freedom of movement, either pedestrian or vehicular, on campus University premises.
  - g. ~~Retaliation against any persons or groups who file grievances in accordance with the Code of Student Conduct.~~ (Move to 20j.)
6. Gambling, Wagering or Bookmaking  
Gambling, wagering or bookmaking on University premises is prohibited.
7. Hazing  
Hazing is defined as any intentional, knowing or reckless act directed against a student, occurring on or off the campus, by one person alone or acting with others, directed against a student, that endangers the mental or physical health or safety of a student for the purpose of pledging or associating, being initiated into, affiliating with, holding office in, seeking, and/or maintaining membership in any organization whose members are/or include students. The term includes but is not limited to:
  - a. Any type of physical brutality, such as whipping, beating, striking, branding, electronic shocking, placing of a harmful substance on the body, or similar activity;
  - b. Any type of physical activity, such as sleep deprivation, exposure to the elements, confinement in a small space, calisthenics, or other activity that subjects the student to an unreasonable risk of harm or that adversely affects



- the mental or physical health or safety of ~~the a~~ student;
- c. Any activity involving consumption of a food, liquid, alcoholic beverage, liquor, drug, or other substance which subjects ~~the a~~ student to an unreasonable risk or harm, or which adversely affects the mental or physical health or safety of ~~the a~~ student;
  - d. Any activity that intimidates or threatens ~~the a~~ student with ostracism, that subjects ~~the a~~ student to extreme mental stress, shame, or humiliation, or that adversely affects the mental health or dignity of ~~the a~~ student, or that discourages ~~the a~~ student from entering or remaining registered at this educational institution, or that may reasonably be expected to cause a student to leave the organization or the institution rather than submit to acts described above;
  - e. Any activity in which a person engages in hazing; solicits, encourages, directs, aids, or attempts to aid another in engaging in hazing; intentionally, knowingly, or recklessly permits hazing to occur; has firsthand knowledge of the planning of a specific hazing incident which has occurred, and knowingly fails to report the incident in writing to the Dean of Students or designee ~~or other appropriate official of the institution~~;
  - f. Any organizational activity in which hazing is either condoned or encouraged or any officer or combination of members, pledges, associates, or alumni of the organization committing or assisting in the commission of hazing. Consent ~~(consent~~ or acquiescence by a ~~person or persons~~ student or students subjected to hazing is not a reasonable defense to ~~persecution or in a~~ disciplinary proceeding action).

~~Any student, registered student organization or both, found in violation of this section will be subject to disciplinary suspension from the University.~~

- 8. False Alarms  
Intentional sounding of a false fire alarm, false emergency call, issuing a bomb threat, constructing mock explosive devices, or tampering with, destroying, and/or possessing of fire equipment or emergency signs on University premises is prohibited.
- 9. Financial Irresponsibility  
Financial irresponsibility is defined as failure to meet financial obligations due the University, including, but not limited to, the writing of checks on accounts with insufficient funds.
- 10. Unauthorized Entry, Possession or Use
  - a. Unauthorized entry into or use of University facilities;
  - b. Unauthorized possession of keys or unauthorized duplication, processing, production or manufacture, of any key or unlocking device for use in any University facility;
  - c. Unauthorized use of the University name, logotype, or symbols of the University. In addition, the University expressly prohibits the use of its name to advertise or promote events or activities in a manner which suggests sponsorship by the University. Registered student organizations are permitted to use the word "Tech" as a part of their organizational names or to use the complete statement "a registered student organization at Texas Tech



University".

11. Traffic and Parking  
Violation of University Traffic and Parking Regulations include, but are not limited to, the obstruction of the free flow of pedestrian or vehicular traffic on University premises.
12. Residence Hall Regulations  
Violations of the rules which govern behavior in the campus residence halls are as stated in the Residence Hall Calendar Handbook and/or other notifications or publications provided by the Department of Housing and Dining Services are prohibited.
13. Student Recreation Center Regulations  
Violations of the rules of the Student Recreation Center and Aquatic Center are prohibited.
- ~~14. Failure to Respond to Notification (Move to B. 20a)~~  
~~A student or registered student organization must respond to notification to appear in the Dean of Students Office and/or Department of Housing and Dining Services during any stage of a disciplinary proceeding. Failure to appear will not prevent the Dean of Students Office or designee and/or Department of Housing and Dining Services from proceeding with disciplinary action in the absence of the student or registered student organization with the provisions outlined in Part IX, Section D of the Code of Student Conduct.~~
4514. Failure to Comply with Lawful Directions of University Officials  
Students must comply with the lawful directions of a University official, law enforcement officer, classroom instructor, or housing & dining official acting in the performance of his or her duty duties.
4615. Failure to Present Student Identification  
A student must present student identification on request to any University official and identify himself/herself to any University official acting in the performance of his or her duty duties.
4716. Abuse, Misuse, or Theft of Computer Data, Programs, Time, ~~Equipment,~~  
or Computer or Network Equipment are defined as: are defined as:
  - ~~a. Unauthorized use of computing resources or use of computing resources for unauthorized purposes;~~
  - ~~b. Unauthorized accessing or copying of programs, records, or data belonging to the University or another user, or copyrighted software, without permission;~~
  - ~~c. Attempted or actual transport of copies of University programs, records, or data to another person or computer site without written authorization;~~
  - ~~d. Attempted or actual use of the University's computing resources for personal or financial gain;~~
  - ~~e. Attempted or actual transport of copies of University programs, records, or data to another person or computer site without written authorization;~~
  - ~~f. Attempted or actual destruction or modification of programs, records, or data~~

~~belonging to the University or another user;~~  
g. ~~Attempted or actual use of the computing facilities to interfere with the normal operation of the University computing systems.~~ (Additions/Corrections below)

- a. Unauthorized use of computing resources;
- b. Use of computing resources for unauthorized or nonacademic purposes;
- c. Unauthorized accessing or copying of programs, records, or data belonging to the University or another user, or copyrighted software, without permission;
- d. Attempted or actual breach of the security of another user's account depriving another user of access to University computing resources, compromising the privacy of another user, or disrupting the intended use of computing or network resources;
- e. Attempted or actual use of the University's computing resources for personal or financial gain;
- f. Attempted or actual transport of copies of University programs, records, or data to another person or computer without written authorization;
- g. Attempted or actual destruction or modification of programs, records, or data belonging to the University or another user or destruction of the integrity of computer-based information;
- h. Attempted or actual use of the computing facilities to interfere with the normal operation of the University's computing systems; or through such actions, causing a waste of such resources (people, capacity, computer).

4817. Providing False Information or Misuse of Records

- a. Knowingly furnishing false information to the University, or to a University official in the performance of his or her duties either verbally, or through forgery, alteration, or misuse of any University document, record, or instrument of identification is prohibited;
- b. ~~Misconduct by providing false information on admission forms will be initiated and adjudicated through the Admissions Office.~~ The Director of Admissions and Records or designee is responsible for resolving issues involving falsification on admission forms.

4918. Skateboards/Rollerblades

Operation of a skateboard, rollerblades, or other device in such a manner as to constitute a safety hazard or cause damage to University or personal property is prohibited. Use of a skateboard, rollerblades, or other device ~~is prohibited~~ in University buildings is prohibited.

2019. Violation of published University Policies or Other Rules or Regulations

Violation of any published University rules which govern student or registered student organization behavior is prohibited.

2420. Abuse of the Discipline System ~~is defined as:~~

- a. ~~Failure to obey the summons of a discipline body, discipline investigator, or University official~~  
A student or registered student organization must respond to notification to appear before the Dean of Students or designee and/or Department of Housing

and Dining Services during any stage of a disciplinary proceeding. Failure to comply with or respond to a notice or summons issued as part of a disciplinary procedure and/or failure to appear will not prevent the Dean of Students or designee and/or the Department of Housing and Dining Services from proceeding with disciplinary action.

- b. Falsification, distortion, or misrepresentation of information; ~~before a discipline body;~~
- c. Disruption or interference with the orderly conduct of a discipline proceeding;
- d. Intentional institution of a discipline proceeding knowingly without cause;
- e. Discouraging or attempting to discourage an individual's proper participation in, or use of, the discipline system;
- f. Influencing or attempting to influence the impartiality of a member of a discipline body prior to, and/or during the discipline proceeding;
- g. Harm (verbal or physical) and/or intimidation of a member of a discipline body prior to, during, and/or after a discipline proceeding;
- h. Failure to comply with the sanction(s), condition(s), and/or restriction(s) imposed under the *Code of Student Conduct*;
- i. Influencing or attempting to influence another person to commit an abuse of the discipline system;
- j. Retaliation against any persons or groups who file grievances or allegations in accordance with the *Code of Student Conduct*. (From 5g)

#### C. Academic Misconduct

The University is strongly committed to upholding standards of academic integrity. These standards require that students never present the work of others as their own.

Any student found to have committed the following academic misconduct is subject to the disciplinary sanctions, conditions, and/or restrictions outlined below and in Part IX, Section E of the *Student Affairs Handbook*.

##### 1. Cheating

This violation includes, but is not limited to:

- a. Use of any unauthorized assistance or assisting others in taking quizzes, test, or examinations;
- b. Dependence upon the aid of sources beyond those authorized by the instructor in writing papers, preparing reports, solving problems, or carrying out assignment(s);
- c. The acquisition, without permission, of tests or other academic material belonging to a member of the University community ~~faculty or staff~~;
- d. Alteration of grade records;
- e. Bribing or attempting to bribe a ~~faculty~~ member of the University community or any other individual to alter a grade.

##### 2. Plagiarism

This violation includes, but is not limited to:

- a. The use, by paraphrase or direct quotation, of the published or unpublished work of another person without full and clear acknowledgment;
- b. The unacknowledged use of materials prepared by another person or agency engaged in the selling of term papers or other academic materials.

3. Instructor Responsibilities

The instructor in a course is responsible for initiating action in cases where there is an admitted act or convincing evidence of academic misconduct. Before taking such action, the instructor should attempted to discuss the matter with the student(s). If the ~~alleged suspected~~ misconduct involves a final exam, the instructor should withhold the grade until a reasonable attempt can be made to contact the student(s) after the end of the semester.

4. Instructor Sanctions

If academic misconduct is determined by the instructor, a failing grade shall be assigned to either the assignment in question or to the course grade. When a student is given a failing grade in a course as a result of academic misconduct, the instructor shall report in writing to the instructor's department chair~~person~~ the facts of the case ~~of and~~ the action to be taken against the student. The chair~~person~~ shall provide a copy to the student, to his or her Academic Dean (and the Graduate Dean in the case of graduate students) and to the Dean of Students ~~Office~~.

5. Grade Appeal Procedure

The Grade Appeal Procedure (Part V of the *Student Affairs Handbook*) may be used to appeal a failing course grade, but not a failing grade given for a class assignment(s). The disciplinary penalty of a grade of F shall not be implemented until the disciplinary procedures or grade appeal process has been exhausted. A student may continue the academic class and course work until a final decision is made.

6. Repeated Academic Dishonesty

In cases of repeated violations, either the instructor (through his or her department chair~~person~~ and/or academic dean ~~Office~~) or the academic dean may refer the case to the Dean of Students ~~Office~~ for further disciplinary ~~action proceeding~~.

7. Referrals to the Dean of Students ~~Office~~

A student referred to the Dean of Students ~~Office~~ for alleged violation(s) of academic misconduct is entitled to all substantive and procedural guarantees provided in the *Code of Student Conduct*. (~~Part IX of the Student Affairs Handbook~~).

8. Disposition by the Dean of Students ~~Office or designee~~

A written report of any ~~additional~~ disciplinary action taken by the Dean of Students ~~Office or designee~~ will be sent to the appropriate academic dean ~~Office~~ and to the student. The final results of a grade appeal shall be reported to the instructor by the appropriate academic dean in the manner required by the grade appeals procedure (Part V, of the *Student Affairs Handbook*).

9. School of Law

Law students are subject to discipline procedures as described in the Honor Code of the School of Law.

D. Disciplinary Procedures

1. To file ~~a complaint~~ an allegation, including a incident report from either the

Department of Housing and Dining Services or the University Police Department. against a student or registered student organization, individuals may meet with a University official ~~or~~ and deliver a written allegation ~~complaint~~ addressing the action or behavior ~~that has occurred~~ to the Dean of Students ~~Office~~ and/or designee. (From A.)

2. General Procedural Procedure

The Dean of Students ~~Office~~ and/or the discipline investigator designee shall ~~investigate~~ inquire, review, and gather information ~~evidence~~ about the reported student or registered student organization misconduct and shall evaluate the accuracy, credibility, and sufficiency of this information ~~evidence~~. The Dean of Students and/or discipline investigator designee shall ensure that the requirements of due process are fulfilled in accordance with the following procedures.

- a. When an written allegation ~~complaint~~ is filed, the student or registered student organization named in the complaint ~~allegation~~ will be notified in writing to appear before a designated discipline investigator in the Dean of Students ~~Office~~ and/or designee to discuss the alleged violation(s). ~~and possible charge(s).~~ The student or registered student organization have has five (5) University working days from the date of the written notification to respond. (From A.b)
- b. In any disciplinary proceeding, the student or registered student organization has the right to:
  - 1) notification of the alleged rule ~~allegedly violated~~ violation(s) and/or the alleged acts committed;
  - 2) know the source of the allegation; complaints;
  - 3) know the specific violation(s); charges;
  - 4) know the sanctions, conditions and/or restrictions which may be imposed if ~~a~~ because of a rule violation(s) charge is proven;
  - 5) ~~be provided a list of the name(s) of witness(es) prior to the date of a formal committee disposition hearing, be apprised of the anticipated testimony of each witness and be provided copies of documents relevant to the case;~~ (Covered in D. 4b)
  - 6) ~~be~~ be accompanied by an advisor at any discipline hearing (for advisory purposes only, not for representation);
  - 7) ~~refrain~~ refrain from making any statement relevant to the allegation(s); charge(s);
  - 8) ~~know~~ know that any statements made by the student or registered student organization can be used as information of the accused, student or registered student organization.
- c. After the student or registered student organization has been advised of the allegation, charge(s); the student or registered student organization may request to have the case resolved through an administrative informal or committee formal disposition hearing. The Dean of Students ~~Office~~ or designee reserves the right to designate a committee formal disposition hearing of the case.
- d. ~~If~~ After notice has been given to the accused student or registered student organization, the University may proceed to conduct an disciplinary administrative or committee disposition hearing and deliver a decision or recommendation, respectfully, at which the accused student or registered



student organization responds to notification or fails to respond or attend the hearing. In the ~~accused~~ student's or registered student organization's absence, the ~~investigator~~ Dean of Students and/or designee, or the University Disciplinary Committee will consider the information evidence, weight the facts and render an appropriate administrative decision or committee recommendation. Notice is deemed to have been given when such is written notification is placed in the United States mail, campus mail, or personally delivered. The written notification is given when such notice is addressed to the student's or registered student organization's last known official, local address as provided to the University Registrar, or personally delivered.

- e. If a student or a registered student organization representative fails to respond to written notification, an administrative flag ~~will~~ may be placed on the students' ~~s~~ or registered student organizations' ~~s~~ records to prevent further registration. The administrative flag will remain until such time as the Dean of Students ~~Office or designee~~ receives an appropriate response.
  - f. All records of disciplinary action taken against a student or registered student organization will remain on file for seven (7) years from the date the case was ~~adjudicated completed~~ through administrative informal or formal committee disposition hearing and/or disciplinary appeal procedures.
3. ~~Informal~~ Administrative Disposition
- a. In cases in which the student or registered student organization does not dispute the ~~facts information and findings~~ leading to the ~~charge allegation~~ made by the ~~discipline investigator in the~~ Dean of Students ~~Office, or designee~~, ~~formal a committee disposition~~ hearing or further proceeding may not be required.
  - b. After making a decision, the Dean of Students and/or designee discipline investigator ~~will~~ shall notify the student or registered student organization in writing of the decision and, if any, sanction(s), condition(s), and/or restriction(s) to be imposed.
  - c. The student or registered student organization ~~has three (3) University working days from the date of the disposition letter to appeal may appeal based upon the disciplinary appeal process. to the Dean of Students Office or designee the sanction(s), condition(s), and/or restriction(s) imposed by the Dean of Students and/or designee discipline investigator a designee of the Dean of Students~~. Appeals must be made in writing to the Dean of Students under Part IX of the *Student Affairs Handbook*. ~~The decision of the Dean of Students is final.~~
  - d. The administrative disposition hearing process usually is completed within twenty (20) University working days from the time the written allegation is filed. (From A.)
  - e. If the Dean of Students or designee discipline investigator, after conferring with a student or registered student organization, and reviewing facts information pertaining to the case, decides that suspension is a possible sanction, the discipline investigator Dean of Students and/or designee shall refer the case directly to the University Discipline Committee for formal disposition. (Previously D.3b)
4. Formal Committee Disposition
- If the student or registered student organization disputes the investigative

information and findings that a violation has been committed, or rejects an administrative informal disposition hearing, the case ~~shall~~ may be resolved through the committee formal disposition hearing procedures as follows:

- a. A "Notification of Violation Charge(s) and Pending Disciplinary Hearing" shall be delivered in person, or sent to the student's or registered student organization's last known official, local address of official University record by as provided to the University Registrar. Mailing will be by certified mail return receipt requested. Failure to receive certified mail does not prevent the University discipline committee from proceeding.
- b. The ~~University official~~ Dean of Students and/or designee and the student or registered student organization will apprise each other of documents to be introduced, witnesses to be examined, and the anticipated testimony of the witnesses. This exchange must be completed five (5) University working days prior to the scheduled committee disposition formal hearing.
- c. The ~~accused~~ student or registered student organization has five (5) University working days from the time date of the notification of alleged violation charge(s) to prepare their case prior to this exchange of information and scheduled committee disposition hearing. The case shall be heard by the University Discipline Committee which includes faculty, staff, and students.
- d. ~~The hearing shall be conducted in a manner which ensures that substantial justice is done and shall not be restricted by the rules of evidence governing criminal or civil judicial proceedings. (Move to A.)~~ The University Discipline Committee, the University, and the ~~accused~~ student or registered student organization shall have reasonable opportunity to question the witnesses. Evidence Information and/or supporting materials shall not be considered unless the ~~accused~~ student or registered student organization and the University have been advised of the source and content at least five (5) University working days in advance of the committee disposition hearing. ~~unless an opportunity for rebuttal is provided.~~ Hearing proceedings (excluding the deliberations of the University Discipline Committee) will be tape recorded. The hearing will be closed unless the ~~accused~~ student or registered student organization requests otherwise. The University Discipline Committee chairperson is responsible for conducting an orderly hearing and shall determine the procedure to be used for an open hearing. The chairperson may deny admission into the hearing to anyone who is disruptive or due to space limitations. ~~A~~ The student or registered student organization may have an advisor present during the formal committee disposition hearing process; however, this advisor cannot also serve as a witness.
- e. Following the hearing, the University Discipline Committee, by consensus majority vote, shall determine whether or not the ~~action(s) as charged alleged have been proven demonstrated. violation(s), as alleged, has occurred.~~
  - 1) If the finding is that the alleged violation(s), ~~as charged, have has not been demonstrated proven occurred~~, the Dean of Students and/or designee shall ~~will be notified in writing of that the~~ decision by the University Discipline Committee Chair. The Dean of Students and/or designee Office will shall then notify the student or registered student organization of the decision. finding.
  - 2) If the finding is that the alleged violation(s), ~~as charged, have has been proven demonstrated occurred~~, the University Discipline Committee shall recommend the disciplinary sanction(s), condition(s), and/or restriction(s)

and the University Disciplinary Committee Chair will notify the Dean of Students or designee in writing. The decision and the recommended sanction(s), condition(s), and/or restriction(s) shall be communicated, in writing, to The Dean of Students and/or designee, who will shall review the recommendation and determine the sanction(s), condition(s), and/or restriction(s) to be imposed and notify the student or registered student organization in writing.

- f. The student or registered student organization may appeal to the University Appeal Committee based upon the disciplinary appeal procedure. the sanction(s), condition(s), and/or restriction(s) imposed by the Dean of Students and/or designee. Appeals must be made in writing to the Dean of Students under Part IX of the Student Affairs Handbook. The decision of the Dean of Students is final.
- g. After reviewing the recommendations from the University Discipline Committee, the Dean of Students Office will and/or designee shall consider the matter, make a decision, and notify the student or registered student organization in writing of the decision. The committee disposition hearing process may take longer than the administrative hearing process. (From A., covered above)

5. Implementation of Sanction(s)

The disciplinary sanction(s), condition(s), and/or restriction(s) shall not begin until either the time for appeal has expired without an appeal, or until the appeal process is exhausted. Exceptions are made only in cases for which, in the judgment of the Vice President for Student Affairs Office, the physical or emotional well-being of the student, the registered student organization, other students, or other members of the University community might be endangered. In such cases, the Vice President for Student Affairs may impose restrictions under Part IX of the Student Affairs Handbook. (Moved to E)

5. In such cases as when in the judgment of the Vice President for Student Affairs, or on recommendation of the Dean of Students or other University officials, the physical or emotional well-being of the student, other students, or members of the faculty and staff could be endangered, or when the presence of the student would seriously disrupt the University, a student or registered student organization may be temporarily suspended pending completion of disciplinary procedures. The Vice President for Student Affairs shall notify the Dean of Students to initiate appropriate disciplinary procedures within five (5) University working days.

Temporary suspension may be initiated at the discretion of the Vice President for Student Affairs or on recommendation of the Dean of Students or other University officials. The Vice President for Student Affairs shall notify the Dean of Students to initiate appropriate disciplinary procedures within five (5) University working days. (Combined into the above section)

E. Disciplinary Sanctions, Conditions, and/or Restrictions

The Dean of Students or designee may deliver sanctions, conditions, and/or restrictions ranging from reprimands to disciplinary probation as a result of an administrative



disposition hearing. For cases involving possible deferred and/or disciplinary suspension, the Dean of Students or designee may refer cases to the University Disciplinary Committee for recommendations. (Moved from A.)

Through ~~the informal administrative disposition hearing (administrative) or formal committee disposition (committee) hearing~~, the following educational sanction(s), condition(s) and/or restriction(s) may be assessed whenever a student or registered student organization is found to have ~~violated a rule(s) in of the Code of Student Conduct committed misconduct~~.

1. Disciplinary Reprimand, with or without Conditions or Restrictions

A disciplinary reprimand is an official written notice to the student or registered student organization that the conduct action in question ~~is misconduct~~ violates University rules. In the case of a registered student organization, a copy of the notice may be sent to the organization's advisor(s) and/or national headquarters.

A disciplinary reprimand may include conditions and/or restrictions, the terms of which will be furnished in writing. Conditions and/or restrictions include, but are not limited to:

- a. Restitution or compensation for loss, damage, or injury. This may take the form of appropriate service and/or monetary or material replacement;
- b. Residence hall relocation to another residence hall, or a recommendation to the Director of Housing and Dining Services or designee for eviction from of the student from the residence and dining halls for a definite period of time, or permanent eviction of the student from the residence and dining halls;
- c. Personal and/or academic counseling;
- d. Revocation of parking and/or building-use privileges;
- e. Denial of eligibility for holding office in registered student organization(s);
- f. Denial of Recreation Center privileges and/or participation in extracurricular activities;
- g. Discretionary educational sanctions, work assignments, or service to the University and/or community;
- h. Prohibited access to University facilities and/or prohibited direct or indirect contact with ~~a University official(s) or student(s)~~, members of the University community;
- i. Loss of privileges or denial of specified privileges for a designated period of time.

2. Disciplinary Probation with or without Conditions or Restrictions

Disciplinary probation is a specified period of time during which a student's or registered student organization's conduct will be scrutinized. The student or registered student organization must demonstrate the ability to comply with University rules and any requirements stipulated for the probationary period. ~~A violation of the~~ Misconduct under the Code of Student Conduct during this period is cause for imposing additional sanction(s), condition(s), and/or restriction(s).

~~Disciplinary Probation may include conditions or restrictions, the terms of which will be furnished in writing. Conditions or restrictions include, but are not limited to, those described in Part IX, Section E of the Student Affairs Handbook.~~

3. Disciplinary Suspension with or without Conditions or Restrictions  
Disciplinary Suspension is a period of time in which a student may not attend classes or participate in any University-related activity. During disciplinary suspension of a registered student organization, the registration and privileges of the organization are suspended. Disciplinary suspension may be one of three types: deferred, time-limited, or indefinite. The status of disciplinary suspension will be shown on the student's academic record, including the transcript or registered student organization's registration, during the period of disciplinary suspension. The notation of disciplinary suspension shall be removed from the transcript upon readmission or the completion of the disciplinary suspension period. Notification of student or registered student organization disciplinary suspension shall indicate the date on which the disciplinary suspension begins, the earliest date at which application may be made for readmission or registration and any special conditions or restrictions relating to the steps required for readmission or registration. ~~During disciplinary suspension, a student may not attend classes or participate in any University-related activity. During disciplinary suspension of a registered student organization, the registration and privileges of the organization are suspended.~~  
(Moved above)
- a. Deferred Disciplinary Suspension with or without Conditions:  
The disciplinary suspension is may be deferred subject to a definite or indefinite for a period of observation and review, in no case will the deferred suspension be less than the remainder of the semester and subject to a definite or indefinite period of evaluation and review. An Additional misconduct violation of the Code of Student Conduct or a failure to comply with an order of the University Discipline Committee or Dean of Students and/or designee will may cause immediate suspension. Conditions for readmission the removal of deferred status may be recommended by the University Discipline Committee to the Dean of Students or designee.
- b. Disciplinary Suspension with or without Conditions:  
Under the disciplinary suspension, the student or registered student organization is dropped from the University for a specific length of time, in no case less than the remainder of the semester. Conditions for readmission may be recommended by the University Discipline Committee to the Dean of Students or designee.
- c. Indefinite Disciplinary Suspension with or without Conditions:  
Indefinite disciplinary suspension is when the student or registered student organization is dropped from the University indefinitely, in no case less than the remainder of the semester. Conditions for readmission may be recommended by the University Discipline Committee to the Dean of Students or designee. by the University Discipline Committee to the Dean of Students or designee

The Dean of Students or designee may deny a student's or registered student organization's request for readmission if, the student's or registered student organization's conduct during disciplinary suspension would have warranted disciplinary action, or if the student or registered student organization has failed to satisfy any sanctions, conditions, and/or restrictions that may have been imposed prior to readmission. On denial of a student's or registered student organization's application for readmission, the Vice President for Student Affairs shall set a new date when at which another application for readmission may be made. ~~Both A student(s) and/or registered student organization(s) may appeal~~

denial of readmission based upon the disciplinary appeal process, to the University Discipline Appeals Committee, under the procedures in Part IX of the Student Affairs Handbook:

Implementation of the disciplinary sanction(s), condition(s), and/or restriction(s) shall not begin until either the time for a disciplinary appeal has expired without a disciplinary appeal, or until the disciplinary appeal process is exhausted. Exceptions are made only in cases for which, in the judgment of the Vice President for Student Affairs Office, the physical or emotional well-being of the student, the registered student organization, other students, or other members of the University community might be endangered. In such cases, the Vice President for Student Affairs may impose restrictions under Part IX of the Student Affairs Handbook. (Moved from D. 5)

F. Disciplinary Appeal Procedures

1. Right to Appeal

Any student or registered student organization has the right to appeal the final decision assessed by the Dean of Students or designee Office (for both formal and informal cases). Students or registered student organizations may also appeal a decision denying readmission or reinstatement to the University. Failure to comply within the allotted time will render the original decision final and conclusive.

2. Grounds for Appeal

- a. Appeals must be based on the issue of substantive or procedural errors which are prejudicial and which were committed during the disciplinary process.
- b. The specific questions to be addressed on appeal are:
  - 1) Were the procedures of the *Code of Student Conduct* followed?
  - 2) If a procedural error was committed, were the rights of the accused student or registered student organization materially violated which effectively denied the student or registered student organization a fair hearing?
  - 3) Was the hearing conducted in a way that permitted the accused student or registered student organization adequate notice and the opportunity to present a defense information?
  - 4) Was the evidence information presented at the hearing sufficient to justify the decision reached?

3. Notification of Appeal

Appeals must be in writing in sufficient detail to inform the Dean of Students or designee or the University Discipline Appeals Committee of the grounds for appeal. The student or registered student organization will not be given the opportunity to appear before the Dean of Students or designee or the University Discipline Appeals Committee for an oral hearing. The appeal is not intended to afford a full rehearing of the case but to serve as a method of reviewing the record of the case and the procedures followed in its adjudication decision making.

- a. The student or registered student organization desiring to appeal an administrative disposition hearing has three (3) University working days from the date of the disposition letter to prepare and submit the written appeal to

- the Dean of Students or designee. The decision of the Dean of Students is final.
- b. The student or registered student organization desiring to appeal ~~any disciplinary an University Disciplinary Committee disposition hearing decision~~ shall notify the Dean of Students in writing of intent to appeal within three (3) University working days ~~of receiving the decision from the date of the disposition letter~~. The student or registered student organization shall have five (5) University working days from the date of the written notice of intent to appeal to prepare and submit the written appeal to the Dean of Students.
  - c. ~~In formal discipline cases~~ After receiving the written appeal of a committee disposition hearing, the Dean of Students shall forward the written appeal, the taped recording of the hearing, and any documents, support material, or written evidence information submitted at the hearing to the University Discipline Appeals Committee. On request, the student or registered student organization shall be given an opportunity to listen to the taped proceedings of the hearing and to review the evidence information.
4. Responsibility of the University Discipline Appeals Committee
- a. The University Discipline Appeals Committee shall review the case, the written appeal of the student or registered student organization, or the circumstances surrounding denial of readmission under Sections D and F of the *Code of Student Conduct*.
  - b. The University Discipline Appeals Committee may make one of the following recommendations:
    - 1) Find no error and affirm the decision.
    - 2) Find that the evidence information submitted was not sufficient to establish that a violation(s), as ~~charged alleged, was committed~~ had occurred.
    - 3) Find ~~prejudicial errors sufficient were so substantiated as to require another hearing that effectively deny the student or student organization a fair hearing~~. In this event, the matter ~~will~~ may again be referred to the Dean of Students for a new hearing, following the disciplinary procedures outlined in the *Code of Student Conduct*.
  - c. In cases involving denial of readmission or denial of registration ~~under Part IX of the Student Affairs Handbook~~, the University Discipline Appeals Committee may affirm the decision or recommend that the student be readmitted or the registered student organization be registered.
  - d. The University Discipline Appeals Committee Chair will communicate the committee's its decision or recommendation, in writing, to the Dean of Students. The Dean of Students shall ~~deliver~~ provide written notification to the accused student or accused-registered student organization a written notice of the University Discipline Appeal Committee's recommendation and the Dean of Students final decision.

~~Questions of interpretation regarding the Code of Student Conduct or Student Affairs Handbook shall be Referred to the Dean of Students Office. The Code of Student Conduct shall be reviewed every year under the direction of the Dean of Students and Vice President for Student Affairs. The Code of Student Conduct and Student Affairs Handbook may, at the sole discretion of the University, be amended at any time. (Moved to Introduction)~~

## G. Emotionally Disturbed Students

Texas Tech University provides evaluation, referral and limited treatment (within the parameters of available University resources) for a student displaying emotional problems, but a student's behavior may be beyond the scope of these services. ~~and require termination of enrollment for medical reasons.~~

### 1. Definitions

- a. "Abnormal behavior" means overt actions, omissions to act, or verbal or written statements which would not be consistent with the actions or statements of a reasonable, prudent person under similar circumstances.
- b. "Emotional problems" include, but are not limited to, behaviors resulting from possible physical, drug related, or psychological disorders which may pose a potential harm to the physical well-being of the student or others, or cause significant disruptive activity to the normal functions of the University.
- c. "An emotionally disturbed student" includes, but is not limited to, a student exhibiting any of the behaviors described above.

### 2. Dean of Students

In any instance where in the judgment of the Dean of Students, in consultation with other University officials, it is determined that a student's behavior is disruptive to University functions, and/or presents a threat of harm or bodily injury to the student or others, the Dean of Students may recommend to the Vice President for Student Affairs that the student be temporarily suspended from the University.

### 3. Vice President for Student Affairs

If the Vice President for Student Affairs concurs with this recommendation, the student will be temporarily suspended until a hearing can be held.

### 4. Registration Flag

When a student is suspended or withdrawn ~~for health reasons~~ under this section, a registration flag will be placed on the student's readmission to the University. This registration flag will remain in the student's records until the student is readmitted.

### 5. Readmission Procedures and Appeals

- a. A student who has had a registration flag placed on his or her readmission ~~for health reasons~~ under this section must request readmission from the Dean of Students at least three (3) weeks prior to the first day of classes of the semester or summer session in which the student wishes to re-enroll. The student may be required by the Dean of Students ~~that office~~ to submit medical evidence supportive of his or her present ~~health and/or emotional~~ ability to function properly and effectively in ~~a~~ the University environment. The University shall evaluate the student's request and supporting evidence with primary consideration given to satisfying all conditions specified at the time of suspension or withdrawal. If approval is granted by the Dean of Students for the removal of the registration flag, the student must then complete the regular University readmission procedures.
- b. If approval for readmission is not granted by the Dean of Students, the student may appeal that decision to the Vice President for Student Affairs. The appeal must be made, in writing, within five (5) University working days ~~of from~~ the



date ~~of the letter~~ the student was notified in writing by the Dean of Students that the student's request for readmission was denied.

- c. The Vice President for Student Affairs will inform the student that he or she is entitled to a hearing. This hearing shall be held within five (5) University working days if at all possible. The hearing will be conducted by the Vice President for Student Affairs or ~~designated University official~~ designee. Following the hearing, the Vice President for Student Affairs Office shall either sustain the decision of the Dean of Students, or shall overrule the decision and allow the student to re-enroll at the University. The Vice President for Student Affairs Office shall notify all parties of this decision, in writing, within three (3) University working days following the completion of the hearing.

#### H. Code Committees

##### 1. University Discipline Committee

###### a. Committee Composition:

The University Discipline Committee shall conduct disciplinary hearings of cases referred to it. The Committee shall be composed of two full-time faculty members, two full-time students, and two full-time staff members. Each member shall be appointed for a one-year term by the Vice President for Student Affairs and may be reappointed.

###### b. Committee Appointments:

The University Discipline Committee shall consist of full-time faculty, full-time staff and full-time student appointments as follows:

- 1) The chair~~person~~ shall be appointed by the Vice President for Student Affairs and shall be a member of the faculty or staff.
- 2) Two student members shall be appointed by the Vice President for Student Affairs who will invite a recommendation by the President of the Student Association, with the advice and consent of the Student Senate.
- 3) Two faculty members shall be appointed by the Vice President for Student Affairs who will invite a recommendation ~~recommended~~ by the Faculty Senate.
- 4) Two staff members shall be appointed by the Vice President for Student Affairs.
- 5) Alternates to the University Discipline Committee shall consist of full-time faculty, full-time staff, and full-time students appointments ~~as follows~~:
  - a) A third faculty member shall be appointed as an alternate to either faculty member~~s~~ by the Vice President for Student Affairs who will invite a recommendation by the Faculty Senate, upon the recommendation of the Faculty Senate.
  - b) A third student member shall be appointed as an alternate to either student member~~s~~ by the Vice President for Student Affairs recommended who will invite a recommendation by the President of the Student Association, with the advise and consent of the Student Senate.
  - c) A third staff member shall be appointed as an alternate to either staff member~~s~~ by the Vice President for Student Affairs.

- c. Committee Secretary:  
The Dean of Students or ~~designee~~ ~~a designated staff member from the Dean of Students Office~~ shall serve as the permanent secretary and non-voting resource person for the committee.
- d. Committee Meetings:  
The committee shall establish regular meeting times during which cases may be heard, and it shall provide for special meetings as needed. Alternate members shall attend meetings only when serving in place of an absent, regular member.
- e. Committee Quorum:  
A quorum for the committee is four members, if at least one member is present from each of the three categories.
- f. Committee Acting Chairperson:  
If the chairperson is absent, an acting chairperson may be named by the Dean of Students.
- g. Committee Deliberation:  
When deliberating ~~or deciding~~ any case referred to it, the committee shall meet in closed session with only voting members present.
- h. Committee Removals:  
The Vice President for Student Affairs may remove a member from this Committee when, in his or her judgement, the member has failed or refused to serve and perform the duties and functions of this Committee.
- i. Committee Sections:  
The Vice President for Student Affairs may appoint additional sections ~~to~~ of the University Discipline Committee, to expedite the orderly disposition of cases and to aid in the administration of disciplinary action within the University. The additional sections of the University Discipline Committee shall have the same composition of membership, the same duties and the same authority as the original University Discipline Committee, and additional sections shall be alphabetically designated. Each section shall function as a separate unit in disposing of the case load in the University disciplinary process. Cases will be assigned by the Dean of Students Office ~~or designee~~.
- j. Committee Orientation:  
Members of the University Discipline Committee shall be required to participate in an orientation facilitated ~~through~~ by the Dean of Students Office ~~or designee~~ prior to any ~~formal committee~~ disposition hearings.

## 2. University Discipline Appeals Committee

- a. Committee Referrals:  
The University Discipline Appeals Committee shall review cases appealed from the University Discipline Committee.
- b. Committee Composition:  
The Committee shall be comprised of two full-time faculty members and one full-time student. For the purpose of this Committee, "full-time faculty" shall include full-time faculty members holding professorial rank. All members shall be appointed for a one-year term by the Vice President for Student Affairs.
- c. Committee Alternates:  
Two full-time faculty members and one full-time student shall be appointed as alternates. Alternates shall attend meetings only when serving in place of absent regular members.

- d. Committee Secretary:  
The Dean of Students or designee shall serve as the permanent secretary and non-voting resource person for the committee.
  - e. Committee Chair:  
The chair will be appointed by the Vice President of Student Affairs. If the chair is absent, an acting chair may be named by the Dean of Students.
  - f. Committee Deliberation:  
When deliberating any case referred to it, the committee shall meet in closed session with only voting members present.
  - g. Committee Removals:  
The Vice President for Student Affairs may remove a member from this Committee when, in his or her judgement, the member has failed or refused to serve and perform the duties and functions of this Committee.
  - h. Committee Quorum Decisions:  
Two faculty members and one student shall be present to consider an appeal.
  - i. Committee Recommendations:  
The Vice President for Student Affairs will invite recommendations from both the Student Association President and the Faculty Senate for members of the student body and faculty, respectively, to serve as committee members.  
The President of the Student Association, upon the advice and consent of the Student Senate, shall recommend the name(s) of students members and the Faculty Senate shall recommend the names of the faculty members to the Vice President for Student Affairs.
  - j. Committee Sections:  
The Vice President for Student Affairs may appoint additional sections to the University Discipline Appeals Committee to expedite the orderly disposition of cases. The additional sections of the University Discipline Appeals Committee shall have the same composition of membership, the same duties and the same authority as the original University Discipline Appeals Committee. Each section shall function as a separate unit in disposing of the appeal case load in the University disciplinary process. Cases will assigned by the Dean of Students Office and/or designee.
  - k. Committee Orientation:  
Members of the University Discipline Appeals Committee shall be required to participate in an orientation facilitated by the Dean of Students Office and/or designee prior to any ~~formal disposition~~ disciplinary appeals hearings.
3. Code of Student Conduct Committee
- a. Code of Student Conduct Review:  
The Code of Student Conduct Committee shall conduct an annual review of the *Code of Student Conduct* and make recommendations to the Vice President for Student Affairs regarding omissions, clarifications, constructive changes, and other matters germane to the proper interpretation and operation of the *Code of Student Conduct*.
  - b. Code of Student Conduct Committee:
    - 1) The chairperson shall be appointed by the Vice President for Student Affairs and shall be a full-time member of the faculty or staff.
    - 2) The Code of Student Conduct Committee shall consist of four full-time



faculty members, two full-time undergraduate students and one full-time graduate student.

- 3) Faculty will be appointed for three (3) years and undergraduate/graduate student(s) will be appointed for one (1) year.
  - 4) One full-time faculty, one full-time undergraduate student and one full-time graduate student shall be appointed as alternates. Alternate members shall be encouraged to attend all meetings but will have a vote only in the absence of a regular member.
  - 5) Committee appointments ~~will~~ shall be made by the Vice President for Student Affairs ~~considering after inviting~~ recommendations ~~from by~~ the President of the Student Association, and/or Student Senate with the advice and consent of the Student Senate for undergraduate/graduate student members and the Faculty Senate for faculty members.
- c. Committee Secretary:  
The Dean of Students or designee shall serve as the permanent secretary and non-voting resource person for the committee.
- d. Code of Student Conduct Committee Orientation:  
Members of the Code of Student Conduct Committee shall be required to participate in an orientation facilitated by the Dean of Students ~~Office~~ and/or designee prior to review of the *Code of Student Conduct*.
- e. Committee Removals:  
The Vice President for Student Affairs may remove a member from this Committee when, in his or her judgement, the member has failed or refused to serve and perform the duties and functions of this Committee.

~~Questions of interpretation regarding the *Code of Student Conduct* or *Student Affairs Handbook* shall be referred to the Dean of Students or designee Office. The *Code of Student Conduct* shall be reviewed every year under the direction of the Dean of Students and Vice President for Student Affairs. The *Code of Student Conduct* and *Student Affairs Handbook* may, at the sole discretion of the University, be amended at any time. (Moved to Introduction)~~

Librarians and Archivists Recommended for Continuing Appointment

	<u>Rank</u>
Virginia L. Andrews	Librarian
Oleta M. Armstrong	Associate Librarian
Jack Becker	Associate Librarian
Bruce Cammack	Associate Librarian
Amy Chang	Librarian
Suzanne Duffy	Associate Librarian
Fe S. Ferrer	Associate Librarian
Mary Ann Higdon	Librarian
Jan Kemp	Librarian
Cindy L. Martin	Archivist
Patricia Marx	Associate Librarian
Susan Mushel	Associate Librarian
Janet Neugebauer	Associate Archivist
Susan Norrisey	Associate Librarian
Elma L. Prowell	Assistant Librarian
Bonnie Reed	Associate Librarian
Sandra River	Associate Librarian
Thomas T. Rohrig	Associate Librarian
David Stoune	Associate Librarian
Theresa Trost	Associate Librarian

Approve extension of leave of absence without pay for Peter Barta, Associate Professor of Classical and Modern Languages and Literatures, College of Arts and Sciences, for the period September 1, 1996, to May 31, 1997. The purpose of this leave is to provide for continuance of research at the British Library and the School of Slavonic and East European Studies at the University of London.

Approve leave of absence without pay for James E. Jonish, Professor of Economics and Geography, College of Arts and Sciences, for the period September 1, 1996, through January 15, 1997. The purpose of the leave is to complete two water resources projects in the State of Texas.

Approve extension of leave of absence without pay for Randall D. Peters, Associate Professor of Physics, College of Arts and Sciences, for the period June 1, 1996, through June 1, 1997. The purpose of the leave is to teach Physics at West Point, New York, and to complete portions of a book.

Approve extension of leave of absence without pay for Robert L. Phillips, Associate Professor of Management, College of Business Administration, for the period September 1, 1996, to May 31, 1997. The purpose of this leave is for the development of faculty skills.

Approve leave of absence without pay for Sue Tolleson-Rinehart, Professor of Political Science, College of Arts and Sciences, for the period September 1, 1996, through August 31, 1997. The purpose of the leave is for personal reasons.

Approve leave of absence without pay for Roger Troub, Professor of Economics and Geography, College of Arts and Sciences, for the period September 1, 1996, through August 31, 1997. The purpose of the leave is to allow time to engage in study, research and writing.

**TEXAS TECH UNIVERSITY**

**SUMMARY OPERATING BUDGET**

**FISCAL YEAR 1997**

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## DEFINITIONS

### **EDUCATIONAL AND GENERAL FUNDS:**

UNRESTRICTED FUNDS FOR ADMINISTRATION, INSTITUTIONAL EXPENSE, INSTRUCTION AND DEPARTMENTAL RESEARCH, PHYSICAL PLANT OPERATION, LIBRARIES AND OTHER ITEMS RELATED TO INSTRUCTION.

### **DESIGNATED FUNDS:**

UNRESTRICTED FUNDS WHICH HAVE BEEN INTERNALLY ALLOCATED FOR SPECIFIC PURPOSES (E.G., STUDENT SERVICES FEES, GENERAL USE FEES, ETC.).

### **AUXILIARY FUNDS:**

THOSE FUNDS USED TO PROVIDE SERVICES FOR STUDENTS, FACULTY, AND STAFF WHICH GENERALLY CHARGE A FEE DIRECTLY RELATED TO THE COST OF THE SERVICE PROVIDED (E.G., ATHLETICS, DORMITORIES, FOOD SERVICE, UNIVERSITY CENTER, AND BOOKSTORE). NO STATE FUNDS CAN BE USED TO SUPPORT AUXILIARY OPERATIONS.

### **CURRENT RESTRICTED FUNDS:**

FUNDS AVAILABLE FOR CURRENT PURPOSES, THE USE OF WHICH IS RESTRICTED BY THE DONOR/GRANTOR TO BE UTILIZED AS STIPULATED BY THE FUNDING SOURCE (E.G., RESEARCH GRANTS, SCHOLARSHIPS, EARNINGS FROM ENDOWMENTS, ETC.).

### **APPROPRIATIONS:**

FUNDS APPROPRIATED BY THE STATE LEGISLATURE. EDUCATIONAL AND GENERAL ACTIVITIES ARE NORMALLY FUNDED FROM TWO SOURCES: THE STATE'S GENERAL REVENUE ACCOUNT AND LOCAL FUNDS. LOCAL FUNDS ARE MADE UP PRIMARILY OF TUITION, LABORATORY FEES, AND INDIRECT COST RECOVERY FROM RESEARCH GRANTS AND CONTRACTS.

### **RETIREMENT OF INDEBTEDNESS:**

THE ACCUMULATION OF RESOURCES FOR INTEREST AND PRINCIPAL PAYMENT AND OTHER DEBT SERVICE CHARGES.

### **RECLASSIFICATION:**

CERTAIN AMOUNTS IN 1996 HAVE BEEN RECLASSIFIED TO CONFORM WITH THE 1997 PRESENTATION.

# TEXAS TECH UNIVERSITY

Board Minutes  
May 10, 1996  
Attachment M5, pg. 4  
Item M86

## COMPARISON OF EDUCATIONAL AND GENERAL FUNDS

### INCOME BUDGET

ITEM	FY 1996	FY 1997
<b>GENERAL REVENUE APPROPRIATIONS:</b>		
GENERAL REVENUE - ARTICLE III	\$86,314,857	\$86,107,424
SECTION 153 REDUCTION (1.26%)	(1,038,895)	(1,036,483)
TASP FUNDING FROM COORDINATING BOARD	69,613	158,396
RETIREMENT FUNDING TRANSFER TO HSC	(664,875)	(664,875)
BENEFIT REPLACEMENT PAY	0	1,556,906
<b>NET GENERAL REVENUE</b>	<b>84,680,700</b>	<b>86,121,368</b>
FEED CONTROL FUND	300,000	150,000
HIGHER EDUCATION ASSISTANCE FUND	16,887,085	16,887,085
<b>SUB-TOTAL APPROPRIATED</b>	<b>\$101,867,785</b>	<b>\$103,158,453</b>
<b>OTHER EDUCATIONAL AND GENERAL FUNDS:</b>		
TUITION, NET	21,647,635	24,418,076
FEES	1,094,480	1,123,191
INDIRECT COST	2,022,987	1,924,000
EXTENSION COURSES	702,725	768,958
INTEREST EARNINGS	1,083,675	1,760,612
MISCELLANEOUS	278,110	289,237
LESS: OASI	(2,100,000)	(1,654,781)
<b>SUB-TOTAL OTHER E&amp;G</b>	<b>\$24,729,612</b>	<b>\$28,629,293</b>
<b>TOTAL INCOME</b>	<b>\$126,597,397</b>	<b>\$131,787,746</b>
<b>OTHER SOURCES</b>		
TRANSFER FROM GENERAL USE FEE - DESIGNATED	1,000,000	3,211,072
UTILIZATION OF FUND BALANCE	1,389,318	1,406,860
<b>TOTAL FUNDING</b>	<b>\$128,986,715</b>	<b>\$136,405,678</b>
PERCENT CHANGE		5.8%

# TEXAS TECH UNIVERSITY

## COMPARISON OF EDUCATIONAL AND GENERAL FUNDS EXPENSE BUDGET

ITEM	FY 1996	FY 1997
CENTRAL SERVICES	\$1,668,155	\$1,772,711
INSTITUTIONAL SUPPORT	4,732,673	5,157,446
STUDENT SERVICES	1,814,241	2,005,503
STAFF BENEFITS	5,071,109	5,050,484
FACULTY SALARIES	50,607,883	54,685,113
DEPARTMENTAL OPERATING EXPENSE	11,119,692	12,532,455
INSTRUCTIONAL ADMINISTRATION	3,031,450	3,277,181
LIBRARY	6,993,751	7,395,787
PHYSICAL PLANT	8,256,461	8,766,784
UTILITIES	10,087,172	9,693,203
ORGANIZED RESEARCH SERVICES AND ENHANCEMENT	1,460,151	1,484,874
OTHER	2,964,721	4,810,574
SPECIAL ITEMS		
EXISTING	6,290,930	6,287,448
DEBT SERVICE	4,384,902	4,369,684
BUILDING IMPROVEMENT	9,200,000	7,704,479
SCHOLARSHIPS	1,303,424	1,411,952
<b>TOTAL</b>	<b>\$128,986,715</b>	<b>\$136,405,678</b>
PERCENT CHANGE		5.8%



# TEXAS TECH UNIVERSITY

## COMPARISON OF AUXILIARY FUND

### INCOME BUDGET

ITEM	FY 1996	FY 1997
INTERCOLLEGIATE ATHLETICS	\$11,187,479	\$13,486,748
UNIVERSITY BOOKSTORE	432,220	432,220
UNIVERSITY CENTER	2,207,102	2,710,742
HIGH TECH - COMPUTER STORE	3,110,606	2,950,000
RESIDENCE HALLS	21,427,000	22,132,000
HOUSING & DINING - U.C. FOOD	1,330,000	1,500,000
OTHER:		
SALES AND SERVICE	2,663,644	2,701,175
INVESTMENT REVENUES	3,764,140	3,926,582
RESIDENCE HALLS - LONG DISTANCE	950,000	600,000
VARIOUS	1,469,450	1,475,950
<b>SUB-TOTAL</b>	<b>\$8,847,234</b>	<b>\$8,703,707</b>
<b>TOTAL</b>	<b>\$48,541,641</b>	<b>\$51,915,417</b>
PERCENT CHANGE		7.0%

**TEXAS TECH UNIVERSITY**  
**COMPARISON OF AUXILIARY FUNDS**  
**EXPENSE BUDGET**

<b>ITEM</b>	<b>FY 1996</b>	<b>FY 1997</b>
INTERCOLLEGIATE ATHLETICS	\$11,725,479	\$14,040,123
UNIVERSITY BOOKSTORE	310,450	310,425
UNIVERSITY CENTER	2,207,102	2,710,742
HIGH TECH - COMPUTER STORE	3,110,606	2,950,000
RESIDENCE HALLS	21,426,463	22,127,360
HOUSING AND DINING - U.C. FOOD	1,330,000	1,500,000
OTHER:		
RESIDENCE HALL - LONG DISTANCE	1,350,000	1,000,000
VARIOUS	7,291,787	7,499,365
<b>TOTAL</b>	<b>\$48,751,887</b>	<b>\$52,138,015</b>
PERCENT CHANGE		6.95%

# TEXAS TECH UNIVERSITY

## COMPARISON OF CURRENT RESTRICTED FUNDS

### INCOME AND EXPENSE BUDGETS

ITEM	FY 1996	FY 1997
<b>SOURCES OF FUNDS</b>		
FEDERAL PROGRAMS	\$18,919,100	\$21,121,200
STATE PROGRAMS	1,856,800	1,924,900
PRIVATE (INCLUDES THE RESEARCH FOUNDATION)	14,003,400	14,289,728
ALL OTHERS	785,400	705,200
<b>TOTAL FUNDS FROM ALL SOURCES</b>	<b>\$35,564,700</b>	<b>\$38,041,028</b>
PERCENT CHANGE		7.0%
<b>DISTRIBUTION BY COLLEGE OR AREA:</b>		
AGRICULTURAL SCIENCES	\$4,096,200	\$4,199,800
ARTS AND SCIENCES	5,362,300	5,728,000
BUSINESS ADMINISTRATION	1,425,100	1,535,000
EDUCATION	1,011,200	1,295,700
ENGINEERING	6,476,500	7,415,500
ARCHITECTURE	18,400	37,200
GRADUATE SCHOOL	10,800	10,000
HUMAN SCIENCES	2,692,200	2,684,000
SCHOOL OF LAW	74,000	70,000
CONTINUING EDUCATION	747,800	708,900
INTERDISCIPLINARY STUDIES	109,400	230,000
MUSEUM	615,600	655,000
LIBRARIES	110,000	143,500
FEDERAL FINANCIAL AID	8,300,000	8,550,000
SCHOLARSHIPS AND FELLOWSHIPS	2,463,100	2,583,000
TEXTILE RESEARCH CENTER	880,000	810,000
ADMINISTRATIVE AND OTHER	1,172,100	1,385,428
<b>TOTAL DISTRIBUTION TO ALL COLLEGES AND AREAS</b>	<b>\$35,564,700</b>	<b>\$38,041,028</b>
PERCENT CHANGE		7.0%

# TEXAS TECH UNIVERSITY

## COMPARISON OF DESIGNATED FUNDS

### INCOME BUDGET

ITEM	FY 1996	FY 1997
<b>STUDENT FEES:</b>		
STUDENT SERVICE FEES	\$4,816,213	\$4,983,476
STUDENT HEALTH SERVICES	2,304,350	2,304,350
COURSE FEE	2,074,852	2,107,891
GENERAL USE FEES	12,436,000	16,576,000
INFORMATION TECHNOLOGY FEES	3,268,482	3,268,482
OTHER FEES	4,268,369	5,206,057
<b>ADDITIONAL REVENUES:</b>		
INTEREST AND INVESTMENT INCOME	3,045,328	3,697,505
SALES AND SERVICES	22,471,488	22,288,117
OTHER	2,183,896	2,365,124
OTHER PROGRAM FEES	<u>4,501,266</u>	<u>5,097,182</u>
<b>SUB-TOTAL</b>	<b>\$61,370,244</b>	<b>\$67,894,184</b>
LESS: SALES TO OTHER DEPARTMENTS	(18,010,308)	(17,078,326)
<b>TOTAL</b>	<b><u>\$43,359,936</u></b>	<b><u>\$50,815,858</u></b>
PERCENT CHANGE		17.20%

# TEXAS TECH UNIVERSITY

## COMPARISON OF DESIGNATED FUNDS

### EXPENSE BUDGET

ITEM	FY 1996	FY 1997
STUDENT SERVICES ACTIVITIES	\$4,816,213	\$4,983,476
INFORMATION TECHNOLOGY FEE	3,468,482	3,468,482
COURSE FEE	2,074,852	2,107,891
<b>SUB-TOTAL</b>	<b>\$10,359,547</b>	<b>\$10,559,849</b>
INSTITUTIONAL SUPPORT		
GENERAL USE ACTIVITIES	12,436,000	16,576,000
COMMUNICATION SERVICES	4,760,761	4,826,575
CENTRAL HEATING & COOLING PLANT #1	6,219,229	7,255,154
CENTRAL HEATING & COOLING PLANT #2	4,293,995	3,447,984
ALL OTHER	5,637,357	5,159,664
<b>SUB-TOTAL</b>	<b>\$33,347,342</b>	<b>\$37,265,377</b>
INSTRUCTIONAL RESEARCH & PUBLIC SERVICE:		
CENTER FOR PROFESSIONAL DEVELOPMENT	\$1,381,754	\$1,377,573
ALL OTHER	8,058,867	9,301,982
<b>SUB-TOTAL</b>	<b>\$9,440,621</b>	<b>\$10,679,555</b>
OTHER SUPPORT:		
STUDENT HEALTH SERVICES	2,303,350	2,303,350
TEXAS PUBLIC EDUCATIONAL GRANTS	2,400,000	3,617,360
ALL OTHER	2,034,443	2,330,920
<b>SUB-TOTAL</b>	<b>\$6,737,793</b>	<b>\$8,251,630</b>
<b>TOTAL</b>	<b>\$59,885,303</b>	<b>\$66,756,411</b>
LESS: SALES TO OTHER DEPARTMENTS	(18,010,308)	(17,078,326)
<b>TOTAL</b>	<b>\$41,874,995</b>	<b>\$49,678,085</b>
PERCENT CHANGE		18.6%

## TEXAS TECH UNIVERSITY

### COMPARISON OF SERVICE DEPARTMENTS

ITEM	FY 1996	FY 1997
ACADEMIC AND ADMINISTRATIVE COMPUTING	\$5,343,127	\$5,652,561
PHYSICAL PLANT SERVICES	7,299,277	8,005,465
PRINTECH	1,426,073	1,428,595
ALL OTHER	<u>1,353,520</u>	<u>2,535,176</u>
<b>TOTAL</b>	<b><u>\$15,421,997</u></b>	<b><u>\$17,621,797</u></b>
PERCENT CHANGE		14.3%

## TEXAS TECH UNIVERSITY

### COMPARISON OF FUNDS FOR RETIREMENT OF INDEBTEDNESS

#### ADDITIONS AND DELETIONS BUDGET

ITEM	FY 1996	FY 1997
<b>ADDITIONS:</b>		
INTEREST AND INVESTMENT INCOME	\$407,621	\$378,247
FEDERAL GRANT	166,264	166,264
APPROPRIATION - HEAF	0	0
APPROPRIATION - GENERAL REVENUE	4,114,653	4,369,683
TRANSFERS FROM REVENUE FUNDS	5,204,800	4,209,470
<b>TOTAL</b>	<b>\$9,893,338</b>	<b>\$9,123,664</b>
PERCENT CHANGE		-7.8%
<b>DEBT SERVICE</b>		
	<b>\$9,893,324</b>	<b>\$9,123,652</b>
PERCENT CHANGE		-7.8%



# TEXAS TECH UNIVERSITY

## SUMMARY OPERATING BUDGET

### FOR FISCAL YEAR 1997

FUND	PROJECTED 9/1/96 BALANCE	ESTIMATED INCOME	ESTIMATED EXPENSE	PROJECTED 8/31/97 BALANCE
EDUCATIONAL & GENERAL	\$4,437,969	\$134,998,818	\$136,405,678	\$3,031,109
AUXILIARY (1)	10,486,404	51,915,417	52,138,015	10,263,806
CURRENT RESTRICTED	284,226	38,041,028	38,041,028	284,226
DESIGNATED (2)	44,237,768	50,815,858	49,678,085	45,375,541
<b>TOTAL</b>	<b>\$59,446,367</b>	<b>\$275,771,121</b>	<b>\$276,262,806</b>	<b>\$58,954,682</b>

SERVICE DEPARTMENTS	\$1,739,695	\$17,621,797	\$17,621,797	\$1,739,695
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#### NOTES

(1) Note that \$1,000,000 has been set-aside from the projected FY 1996 and FY 1997 Balance to support the Arena Project. It is anticipated that other sources of revenue will be identified and that these funds will, in turn, be returned to the fund balance.

(2) Note that \$9,000,000 has been set-aside from the projected FY 1996 and FY 1997 Balance to support the Arena Project. It is anticipated that other sources of revenue will be identified and that these funds will, in turn, be returned to the fund balance.

**TEXAS TECH UNIVERSITY - STUDENT FEES**  
**Effective Beginning Fall Semester, 1996**  
**Summary of Changes**

**(A) Tuition - All Colleges Except School of Law**

1. As a result of the action by the 74th Legislature, Regular Session, the following tuition rates are in effect for the academic year beginning with the Fall semester, 1996:
  - (a) All Colleges Except School of Law - Residents of Texas: \$32 per semester credit hour, with minimums of \$120 for a long term and \$60 for a summer term (increased from the \$30 per semester credit hour in effect for the 1995-1996 academic year).
  - (b) All Colleges Except School of Law - Non-Resident Students, United States Citizens and Foreign Students: \$246 per semester credit hour, no minimums (increased from the \$222 per semester credit hour in effect for the 1995-1996 academic year).
2. The Board of Regents has authorized the President to approve the assessment of additional tuition at a rate not to exceed the maximum allowed by law per semester credit hour from students enrolled in graduate program courses.
3. Listed below is a comparison of tuition and mandatory fees for a student taking a 15 semester credit hour load:

	<b>Resident Student</b>		<b>Non-Resident Student</b>	
	1995 -1996	1996 -1997	1995 -1996	1996 -1997
<b>Tuition</b>	\$450.00	\$480.00	\$3,330.00	\$3,690.00
<b>Student Services Fee</b>	102.50	105.50	102.50	105.50
<b>Medical Services Fee</b>	49.00	49.00	49.00	49.00
<b>University Center Fee</b>	20.00	30.00	20.00	30.00
<b>General Use Fee</b>	315.00	420.00	315.00	420.00
<b>Information Technology Fee</b>	75.00	75.00	75.00	75.00
<b>Miscellaneous Mandatory Fees</b>	3.50	3.50	3.50	3.50
<b>Course Fee(s)</b>	50.00	50.00	50.00	50.00
<b>Total Estimate* (Without Housing)</b>	\$1,065.00	\$1,213.00	\$3,945.00	\$4,423.00
<b>% Increase</b>		13.90%		12.12%
<b>Add: On Campus Housing</b>	\$3,520.00	\$3,628.00	\$3,520.00	\$3,628.00
<b>Total with Housing</b>	\$4,585.00	\$4,841.00	\$7,465.00	\$8,051.00
<b>% Increase</b>		5.58%		7.85%

\*Estimate does not include laboratory fees. Laboratory fee may vary from a minimum of \$2.00 to \$30.00 per course.

(B) Tuition - School of Law

As a result of action by the 74th Legislature, Regular Session, the following tuition rates are in effect for the academic year beginning with the Fall semester, 1996:

- (1) Residents of Texas: \$75 per semester credit hour plus an additional \$75 per semester credit hour, previously set under the authority of Section 54.008, Texas Education Code and previous action by the Board of Regents, for a total of \$150 per semester credit hour (increased from the \$135 per semester credit hour in effect for the 1995-1996 academic year.)
- (2) Non-Resident Students: \$200 per semester credit hour plus an additional \$75 per semester credit hour, as previously set under the authority of Section 54.008, Texas Education Code and previous action by the Board of Regents, for a total of \$275 per semester credit hour (increased from the \$260 per semester credit hour in effect for the 1995-1996 academic year.)

(C) Student Services Fee

The Student Services Fee Advisory Committee, comprised of students, recommends that this fee be increased from \$8.55 to \$8.80 per semester credit hour with a \$105.50 maximum for full-time students (those registered for 12 semester credit hours or more). This is an increase in the maximum charge of \$3.00 per regular semester. The increase was recommended to provide for an increase in the cost for campus transportation, salary and fringe benefit increases and an increase in funding for Cultural Events and the University Daily.

(D) General Use Fee

Amendments to Section 55.16, Texas Education Code enacted by the 74th Legislature authorize the assessment of the General Use Fee in an amount not to exceed the amount assessed for tuition. The \$7 per semester credit hour increase from \$21 to \$28 per semester credit hour will be used to provide funds for the general operating expenses of the university. **The General Use Fee will be increased an additional \$6 to \$34 for fiscal year 1998.**

(E) University Center Fees

During the Student Association spring general election, 54.9% of the students voted to increase the University Center Fee from \$20 to \$30. This \$10 increase is needed to facilitate improvements in the operations of the Center. The last increase in the University Center Fee was approved in 1989. This \$5 increase was primarily used for the maintenance and repair of the University Center including repair of the roof. The current increase will primarily be used for covering increased operating costs and maintaining competitive prices for services provided.

(F) Housing Fees

Expenses have increased over the last two years largely due to legislative mandates for statutory/merit pay increases and the requirement to fund retiree health insurance premiums. Some of these increases have been absorbed by our reserves. In 1993, a four-year guaranteed rate policy was established. This means that the rate increases are tempered by the fact that approximately 50% of the residents will be paying at previous year's lower rates. As in the past, rate increases have been necessary to meet rising costs, the continued development of reserves for a sound housing program and the systematic elimination of growing deferred maintenance (90-91, 3.0%; 91-92, 3.0%, 92-93, -0-; 93-94, 3.2%, 94-95, 1.9%, 95-96, 2.9% 96-97, 3.1%).

(G) Parking Fees and Penalties

Parking fees and penalties were approved by the Board of Regents at the February 9, 1996 meeting.

**Summary of Changes (Continued)**

Board Minutes  
May 10, 1996  
Attachment M6, pg. 3  
Item M87

**(H) Law School Application Fee**

This fee is being increased from \$40 to \$50. The \$10 increase is needed to assist in defraying the increased cost of printing the Law School Catalog. Also, the current trend is a reduction in the total number of applications to the Law School resulting in a decrease in total revenue.

**(I) Credit by Examination**

Due to recent changes in public education in Texas, school districts are now required to administer Examination for Acceleration and/or Credit at least once a semester and free of charge to their students. Input from school districts have informed us that the expected numbers of exams requested by students will impact the budgets of local districts to the point they will not be able to use our exams at their current prices. In FY 95, we enrolled students in 15,615 exams for acceleration and/or credit. In an effort to save this market, we request approval to reduce the price of \$28 regardless of quantity to \$28 per exam for quantities of 1 to 10, \$18 for quantities of 11 to 20 and \$10 for quantities of 21 and more. We are hopeful that the decrease will be enough to make it cost effective for school districts to continue to use our exams.

**(J) Law School Registration Deposit**

This deposit is being increased from \$50 to \$200. This increase is necessary to bring the University closer in line with other Law Schools within the five-state region. This will also allow the Law School to better control the number of accepted Law students that actually come to Texas Tech's Law School.

**(K) New Student Orientation Fee**

The increase in the New Student Orientation Fee was approved by the Board of Regents at the February 9, 1996 meeting.

(1) **REGISTRATION FEES**  
(A) **All Colleges Except School of Law**

**1. Residents of Texas - Long Term**

	a.	b.	c.	d.	e.	
Hours	Tuition* <sup>1</sup>	Student Services Fee** <sup>1</sup>	Medical Services Fee	General Use Fee <sup>1</sup>	University Center Fee <sup>1</sup>	Total
1	\$120.00	\$8.80	\$0.00	\$28.00	\$0.00	<b>\$156.80</b>
2	120.00	17.60	0.00	56.00	0.00	<b>193.60</b>
3	120.00	26.40	0.00	84.00	30.00	<b>260.40</b>
4	128.00	35.20	49.00	112.00	30.00	<b>354.20</b>
5	160.00	44.00	49.00	140.00	30.00	<b>423.00</b>
6	192.00	52.80	49.00	168.00	30.00	<b>491.80</b>
7	224.00	61.60	49.00	196.00	30.00	<b>560.60</b>
8	256.00	70.40	49.00	224.00	30.00	<b>629.40</b>
9	288.00	79.20	49.00	252.00	30.00	<b>698.20</b>
10	320.00	88.00	49.00	280.00	30.00	<b>767.00</b>
11	352.00	96.80	49.00	308.00	30.00	<b>835.80</b>
12	384.00	105.50	49.00	336.00	30.00	<b>904.50</b>
13	416.00	105.50	49.00	364.00	30.00	<b>964.50</b>
14	448.00	105.50	49.00	392.00	30.00	<b>1,024.50</b>
15***	480.00	105.50	49.00	420.00	30.00	<b>1,084.50</b>

<sup>1</sup>See SUMMARY OF CHANGES, Items (A), (C), (D) and (E).

\* Add for enrollment in Graduate Programs in: Agriculture-\$32; Architecture-\$25; Arts and Sciences-\$21, except for Theatre & Dance and Public Administration \$23, Business Administration-\$32; Education-\$32; Engineering-\$32, Human Sciences-\$32 per semester credit hour.

\*\* See Student Services Fee Schedule of services provided.

\*\*\* Hours over 15, add \$32.00 per hour for Tuition and \$28.00 per hour for General Use Fee. (Enrollment at the Junction Center during the Long Term not anticipated.)

**2. Residents of Texas - Summer Term**

	a.	b.	c.	d.	e.	
Hours	Tuition* <sup>1</sup>	Student Services Fee** <sup>1</sup>	Medical Services Fee	General Use Fee <sup>1</sup>	University Center Fee** <sup>1</sup>	Total
1	\$60.00	\$8.80	\$0.00	\$28.00	\$15.00	<b>\$111.80</b>
2	64.00	17.60	0.00	56.00	15.00	<b>152.60</b>
3	96.00	26.40	0.00	84.00	15.00	<b>221.40</b>
4	128.00	35.20	24.50	112.00	15.00	<b>314.70</b>
5	160.00	44.00	24.50	140.00	15.00	<b>383.50</b>
6	192.00	52.80	24.50	168.00	15.00	<b>452.30</b>
7***	224.00	61.60	24.50	196.00	15.00	<b>521.10</b>

<sup>1</sup>See SUMMARY OF CHANGES, Items (A), (C), (D) and (E).

\* Add for enrollment in Graduate Programs in: Agriculture-\$32; Architecture-\$25; Arts and Sciences-\$21, except for Theatre & Dance and Public Administration-\$23, Business Administration-\$32; Education-\$32; Engineering-\$32, Human Sciences-\$32 per semester credit hour.

\*\* See Student Services Fee Schedule of services provided. Fee not applicable for Summer term enrollment at the Junction Center. Student Services Fee at the Junction Center is \$8.85 per semester credit hour, not to exceed a maximum of \$90.00, Medical Services Fee at the Center is \$3.00/semester credit hour. No University Center Fee.

\*\*\* Hours over 7, add \$32.00 per hour for Tuition, \$28.00 per hour for General Use Fee and \$8.80 per hour for Student Services Fee (maximum \$105.50).



(1) **REGISTRATION FEES (Continued)**  
(A) **All Colleges Except School of Law**

**3. Non-Resident Students, United States Citizens and Foreign Students - Long Term**

	a.	b.	c.	d.	e.	
Hours	Tuition* <sup>1</sup>	Student Services Fee** <sup>1</sup>	Medical Services Fee	General Use Fee <sup>1</sup>	University Center Fee <sup>1</sup>	Total
1	\$246.00	\$8.80	\$0.00	\$28.00	\$0.00	<b>\$282.80</b>
2	492.00	17.60	0.00	56.00	0.00	<b>565.60</b>
3	738.00	26.40	0.00	84.00	30.00	<b>878.40</b>
4	984.00	35.20	49.00	112.00	30.00	<b>1,210.20</b>
5	1,230.00	44.00	49.00	140.00	30.00	<b>1,493.00</b>
6	1,476.00	52.80	49.00	168.00	30.00	<b>1,775.80</b>
7	1,722.00	61.60	49.00	196.00	30.00	<b>2,058.60</b>
8	1,968.00	70.40	49.00	224.00	30.00	<b>2,341.40</b>
9	2,214.00	79.20	49.00	252.00	30.00	<b>2,624.20</b>
10	2,460.00	88.00	49.00	280.00	30.00	<b>2,907.00</b>
11	2,706.00	96.80	49.00	308.00	30.00	<b>3,189.80</b>
12	2,952.00	105.50	49.00	336.00	30.00	<b>3,472.50</b>
13	3,198.00	105.50	49.00	364.00	30.00	<b>3,746.50</b>
14	3,444.00	105.50	49.00	392.00	30.00	<b>4,020.50</b>
15***	3,690.00	105.50	49.00	420.00	30.00	<b>4,294.50</b>

<sup>1</sup>See SUMMARY OF CHANGES, Items (A), (C), (D) and (E).

\* Add for enrollment in Graduate Programs in: Agriculture-\$32; Architecture-\$25; Arts and Sciences-\$21, except for Theatre & Dance and Public Administration-\$23, Business Administration-\$32; Education-\$32; Engineering-\$32, Human Sciences-\$32 per semester credit hour.

\*\* See Student Services Fee Schedule of services provided.

\*\*\* Hours over 15, add \$246.00 per hour for Tuition and \$28.00 per hour for General Use Fee. (Enrollment at the Junction Center during the Long Term not anticipated.)

**4. Non-Resident Students, United States Citizens and Foreign Students - Summer Term**

	a.	b.	c.	d.	e.	
Hours	Tuition* <sup>1</sup>	Student Services Fee** <sup>1</sup>	Medical Services Fee	General Use Fee <sup>1</sup>	University Center Fee <sup>1</sup>	Total
1	\$246.00	\$8.80	\$0.00	\$28.00	\$15.00	<b>\$297.80</b>
2	492.00	17.60	0.00	56.00	15.00	<b>580.60</b>
3	738.00	26.40	0.00	84.00	15.00	<b>863.40</b>
4	984.00	35.20	24.50	112.00	15.00	<b>1,170.70</b>
5	1,230.00	44.00	24.50	140.00	15.00	<b>1,453.50</b>
6	1,476.00	52.80	24.50	168.00	15.00	<b>1,736.30</b>
7***	1,722.00	61.60	24.50	196.00	15.00	<b>2,019.10</b>

<sup>1</sup>See SUMMARY OF CHANGES, Items (A), (C), (D) and (E).

\* Add for enrollment in Graduate Programs in: Agriculture-\$32; Architecture-\$25; Arts and Sciences-\$21, except for Theatre & Dance and Public Administration-\$23, Business Administration-\$32; Education-\$32; Engineering-\$32, Human Sciences-\$32 per semester credit hour.

\*\* See Student Services Fee Schedule of services provided. Fee not applicable for Summer term enrollment at the Junction Center. Student Services Fee at the Junction Center is \$8.85 per semester credit hour, not to exceed a maximum of \$90.00, Medical Services Fee at the Center is \$3.00/semester credit hour. No University Center Fee.

\*\*\* Hours over 7, add \$246.00 per hour for Tuition, \$28.00 per hour for General Use Fee and \$8.80 per hour for Student Services Fee (maximum \$105.50).

(1) **REGISTRATION FEES (Continued)**  
**(B) School of Law**

**1. Residents of Texas - Long Term**

	a.	b.	c.	d.	e.	
Hours	Tuition <sup>1</sup>	Student Services Fee* <sup>1</sup>	Medical Services Fee	General Use Fee <sup>1</sup>	University Center Fee <sup>1</sup>	Total
1	\$150.00	\$8.80	\$0.00	\$28.00	\$0.00	<b>\$186.80</b>
2	300.00	17.60	0.00	56.00	0.00	<b>373.60</b>
3	450.00	26.40	0.00	84.00	30.00	<b>590.40</b>
4	600.00	35.20	49.00	112.00	30.00	<b>826.20</b>
5	750.00	44.00	49.00	140.00	30.00	<b>1,013.00</b>
6	900.00	52.80	49.00	168.00	30.00	<b>1,199.80</b>
7	1,050.00	61.60	49.00	196.00	30.00	<b>1,386.60</b>
8	1,200.00	70.40	49.00	224.00	30.00	<b>1,573.40</b>
9	1,350.00	79.20	49.00	252.00	30.00	<b>1,760.20</b>
10	1,500.00	88.00	49.00	280.00	30.00	<b>1,947.00</b>
11	1,650.00	96.80	49.00	308.00	30.00	<b>2,133.80</b>
12	1,800.00	105.50	49.00	336.00	30.00	<b>2,320.50</b>
13	1,950.00	105.50	49.00	364.00	30.00	<b>2,498.50</b>
14	2,100.00	105.50	49.00	392.00	30.00	<b>2,676.50</b>
15**	2,250.00	105.50	49.00	420.00	30.00	<b>2,854.50</b>

<sup>1</sup>See SUMMARY OF CHANGES, Items (B), (C), (D) and (E).

\* See Student Services Fee Schedule of services provided.

\*\* Hours over 15, add \$150.00 per hour for Tuition and \$28.00 per hour for General Use Fee.

**2. Residents of Texas - Summer Term**

	a.	b.	c.	d.	e.	
Hours	Tuition <sup>1</sup>	Student Services Fee* <sup>1</sup>	Medical Services Fee	General Use Fee <sup>1</sup>	University Center Fee <sup>1</sup>	Total
1	\$150.00	\$8.80	\$0.00	\$28.00	\$15.00	<b>\$201.80</b>
2	300.00	17.60	0.00	56.00	15.00	<b>388.60</b>
3	450.00	26.40	0.00	84.00	15.00	<b>575.40</b>
4	600.00	35.20	24.50	112.00	15.00	<b>786.70</b>
5	750.00	44.00	24.50	140.00	15.00	<b>973.50</b>
6	900.00	52.80	24.50	168.00	15.00	<b>1,160.30</b>
7***	1,050.00	61.60	24.50	196.00	15.00	<b>1,347.10</b>

<sup>1</sup>See SUMMARY OF CHANGES, Items (B), (C), (D) and (E).

\* See Student Services Fee Schedule of services provided.

\*\* Hours over 7, add \$150.00 per hour for Tuition, \$28.00 per hour for General Use Fee and \$8.80 per hour for Student Services Fee (maximum \$105.50).



(1) **REGISTRATION FEES (Continued)**  
(B) **School of Law**

**3. Non-Resident Students, United States Citizens and Foreign Students - Long Term**

	a.	b.	c.	d.	e.	
Hours	Tuition <sup>1</sup>	Student Services Fee* <sup>1</sup>	Medical Services Fee	General Use Fee <sup>1</sup>	University Center Fee <sup>1</sup>	Total
1	\$275.00	\$8.80	\$0.00	\$28.00	\$0.00	\$311.80
2	550.00	17.60	0.00	56.00	0.00	623.60
3	825.00	26.40	0.00	84.00	30.00	965.40
4	1,100.00	35.20	49.00	112.00	30.00	1,326.20
5	1,375.00	44.00	49.00	140.00	30.00	1,638.00
6	1,650.00	52.80	49.00	168.00	30.00	1,949.80
7	1,925.00	61.60	49.00	196.00	30.00	2,261.60
8	2,200.00	70.40	49.00	224.00	30.00	2,573.40
9	2,475.00	79.20	49.00	252.00	30.00	2,885.20
10	2,750.00	88.00	49.00	280.00	30.00	3,197.00
11	3,025.00	96.80	49.00	308.00	30.00	3,508.80
12	3,300.00	105.50	49.00	336.00	30.00	3,820.50
13	3,575.00	105.50	49.00	364.00	30.00	4,123.50
14	3,850.00	105.50	49.00	392.00	30.00	4,426.50
15**	4,125.00	105.50	49.00	420.00	30.00	4,729.50

<sup>1</sup>See SUMMARY OF CHANGES, Items (B), (C), (D) and (E).

\* See Student Services Fee Schedule of services provided.

\*\* Hours over 15, add \$275.00 per hour for Tuition and \$28.00 per hour for General Use Fee.

**4. Non-Resident Students, United States Citizens and Foreign Students - Summer Term**

	a.	b.	c.	d.	e.	
Hours	Tuition <sup>1</sup>	Student Services Fee* <sup>1</sup>	Medical Services Fee	General Use Fee <sup>1</sup>	University Center Fee <sup>1</sup>	Total
1	\$275.00	\$8.80	\$0.00	\$28.00	\$15.00	\$326.80
2	550.00	17.60	0.00	56.00	15.00	638.60
3	825.00	26.40	0.00	84.00	15.00	950.40
4	1,100.00	35.20	24.50	112.00	15.00	1,286.70
5	1,375.00	44.00	24.50	140.00	15.00	1,598.50
6	1,650.00	52.80	24.50	168.00	15.00	1,910.30
7**	1,925.00	61.60	24.50	196.00	15.00	2,222.10

<sup>1</sup>See SUMMARY OF CHANGES, Items (B), (C), (D) and (E).

\* See Student Services Fee Schedule of services provided.

\*\* Hours over 7, add \$275.00 per hour for Tuition, \$28.00 per hour for General Use Fee and \$8.80 per hour for Student Services Fee (maximum \$105.50).

(2) **HOUSING FEES**

(A) **Deposits and Room and Board Rates<sup>1</sup>**

1. Room Deposit \$ 60.00
2. Advance Payment \$150.00
3. Room and Board Rates: 1996-97 Academic Year Charges

a. Dormitory Rates: (Per Student for a Double Room and Rate Guaranteed During the Fall and Spring Semesters)

<u>Dormitory</u>	<u>9 Months 9 Meals Per Week</u>	<u>9 Months 13 Meals Per Week</u>	<u>9 Months 20 Meals Per Week</u>	<u>9 Months Super Plus* Meal Plan</u>	<u>Summer Term*** 21 Meals Per Week</u>
<b><u>Non-Air-conditioned</u></b>					
Bledsoe, Sneed	\$3,307	\$3,366	\$3,458	\$3,622	Not Open
Gaston & Doak**	3,338	3,397	3,489	3,653	561***
<b><u>Air Conditioned</u></b>					
Chitwood, Clement Coleman, Gates, Horn Hulen, Knapp, Wall, Weymouth, Murdough, and Stangel	3,805	3,864	3,956	4,120	628***
Gaston**	3,836	3,895	3,987	4,151	628***
For single room in Dormitories, add	640	640	640	640	130***
Gordon Hall Suites:					
Efficiency Room	3,874	3,933	4,025	4,189	Not Open
Two Bedroom Suite	3,975	4,034	4,126	4,290	Not Open
One Bedroom Suite	4,139	4,198	4,290	4,454	Not Open
For single room Gordon Suites, add	690	690	690	690	Not Open

\* The Super Plus Meal Plan allows access to the dining rooms four times per day.

\*\* Gaston and Doak Halls operate throughout the year. An additional \$31.00 charge is included in the rate for residents to remain in the dormitory during the Christmas break.

\*\*\* 6 Week Term

b. Gaston Apartment Rates: The Gaston Apartments are rented on a monthly basis without a meal plan. These rates include all utilities, furnishings, and telephone.

**Rental Per Month**

One Bedroom Apartment	\$420
Two Bedroom Apartment	498
Large Two Bedroom Apartment	528

<sup>1</sup>See SUMMARY OF CHANGES, Item (F)

(2) **HOUSING FEES (Continued)**

(B) **Miscellaneous Housing Rates for 1996-97<sup>1</sup>**

1. Installment Fee: \$10 per semester for each resident electing to pay accounts in installments.
2. Late Payment of Room and Board: \$15 plus \$1 per each additional late day for each installment pay period. Maximum, \$30 for each installment pay period.
3. Scholarship Athletes: Room and Reduced Board: \$2,720 per academic year.
4. Miscellaneous Guest Housing Rates:

a. **Guest Room and Apartment Rates**

All guest rooms and small Bledsoe Apartments:

Double Occupancy - per person	\$20.00/night
Single Occupancy - per person	30.00/night

Larger guest apartments:

Double Occupancy - per person	\$30.00/night
Single Occupancy - per person	45.00/night

b. **Conference Room Rates**

Double Occupancy - per person	\$14.50/night
Single Occupancy - per person	19.50/night

(C) **Conference Meal Rates, Including Sales Tax**

Breakfast	\$ 4.25
Lunch	6.15
Dinner	7.45

<sup>1</sup>See SUMMARY OF CHANGES, Item (F)

**(3) OTHER FEES**

Board Minutes  
May 10, 1996  
Attachment M6, pg. 10  
Item M87

**(A) All Colleges and the School of Law**

1. Application Fee: (All applications except those by TTU and TTUHSC Faculty, Staff, their spouse and children)
  - a. Undergraduate (United States Citizens) \$25.00
  - b. Graduate (United States Citizens) 25.00
  - c. Law School 50.00<sup>1</sup>
  - d. Foreign (Undergraduate and Graduate) 50.00
2. Auditing Fee (Students enrolled in 11 semester credit hours or less) 10.00
3. Binding Theses and Dissertations:
  - Theses - 3 official copies 40.00
  - Dissertations - 3 official copies and microfilming 90.00
4. Class Schedule Change [Per Change. A change shall be defined as the addition of a single course or section and deletion of a single course or section, or addition of a single course, or deletion of a single course to the schedule of courses in which a student originally registered for an academic term. This fee may be waived only when the change in a student's schedule is for the convenience or as a result of required academic action of the University and is approved by the Dean (or Designee) of the college or school in which the student is enrolled with concurrence by the University Director of Admissions and Records (or Designee)] 6.00
5. Correspondence Courses:
  - High School Level (per ½ unit) 79.00
  - College Level (per semester credit hour) 53.00
  - Credit by Examination (High School and College Level):
    - 1 to 10 Exams 28.00<sup>2</sup>
    - 11 to 20 Exams 18.00<sup>2</sup>
    - 21 or more Exams 10.00<sup>2</sup>
6. Course Fee (Per Course); Not less than \$3 per Course, but not more than \$45, except that the fee shall not exceed, in general, the cost of the materials or services directly associated with the course—not including faculty salaries. The fee established for individual courses shall be determined and approved under a policy established by the Administration. 45.00
7. Diploma Replacement Fee 16.00
8. Diploma Insert Fee (re-application for graduation) 2.00
9. Duplicate Copy of Registration Fee Receipt .50
10. Education Abroad Program Fee (with the approval of the Vice Provost for Academic Affairs and Vice President for Fiscal Affairs, the fee may be set in an amount not to exceed the cost of offering the program but not less than \$50.00 and not more than) 250.00
11. General Property Deposit (Collected at first enrollment and maintained at this level at each subsequent enrollment) 10.00

<sup>1</sup>See SUMMARY OF CHANGES, Item (H)

<sup>2</sup>These Changes effective immediately upon approval

(3) **OTHER FEES (Continued)**

Board Minutes  
May 10, 1996  
Attachment M6, pg. 11  
Item M87

(A) **All Colleges and the Law School (Continued)**

12. Identification Card Maintenance Fee (\$2.50 for each long term and each summer session)	2.50
13. Identification Card Replacement Fee	10.00
14. Identification Card Revalidation Fee	5.00
15. Information Technology Fee (Per Semester Credit Hour)	5.00
16. Installment Payment of Tuition/Fees Option Fee (Percentage applied to the balance owed)	1.5%
17. International Education Fee (each registration)	1.00
18. International Student Fee (each non-immigrant international student - each summer session \$15.00; each semester)	30.00
19. Laboratory Fees (Per Laboratory Section; Not less than \$2 per Section, but not more than \$30, except that the fee shall not exceed, in general, the cost of operating the laboratory—not including personnel and equipment costs. The fee established for individual laboratory sections shall be determined and approved under a policy established by the Administration)	30.00
20. Late Charges on Loans	15.00
21. Late Payment Fee (After the second working day following the billing due date, not to exceed a maximum of \$75.00 each semester or term)	15.00
22. Late Registration Fee (beginning the 1st class day)	15.00
23. Law School Deposit	200.00 <sup>1</sup>
24. New Student Orientation Fee	35.00 <sup>1</sup>
25. Post Suspension Assistance Fee (XL - Strategies)	100.00
26. Private Music Instruction:	
Applied Music 1001, 1002, 2001, 2002, 3001, 3002, 4001, 4002 5001 (1 hour each) (summer - \$6.00)	15.00
Applied Music 1001, 1002, 2001, 2002, 3001, 3002, 4001, 4002 5001, (2 to 4 hours each) (summer - \$12.00)	30.00
27. Reinstatement Fee (After the 12th Class Day of a long term or 4th Class Day of a summer term, per Semester Credit Hour)	90.00
28. Returned Check Charges	15.00
29. Sponsored International Student Administrative Fee	250.00
30. Transcript Fee (per copy)	2.00

<sup>1</sup>See SUMMARY OF CHANGES, Items (J) and (K)

**(A) Permit Fees and Refunds**

Rates Through	Faculty-Staff Reserved*		Faculty-Staff Reserved*		Faculty-Staff Area**		Residence Halls*		Commuter**		Two Wheeler*	
	12 months		9 months		12 months		9 months		9 months		12 months	
	Cost	Refund	Cost	Refund	Cost	Refund	Cost	Refund	Cost	Refund	Cost	Refund
Sep 30	\$99.00	\$86.75	\$75.00	\$62.00	\$52.00	\$43.65	\$56.00	\$45.80	\$39.00	\$30.65	\$15.00	\$9.75
Oct 31	90.75	78.50	66.00	53.75	47.65	39.30	49.80	39.60	34.65	26.30	13.75	8.50
Nov 30	82.50	70.25	57.75	45.50	43.30	34.95	43.60	33.40	30.30	21.95	12.50	7.25
Dec 31	74.25	62.00	49.50	37.25	38.95	30.65	37.40	27.20	25.95	17.60	11.25	6.00
Jan 31	66.00	53.75	41.25	29.00	34.60	26.25	31.20	21.00	21.60	13.25	10.00	4.75
Feb 28	57.75	45.50	33.00	20.75	30.25	21.90	25.00	14.80	17.25	8.90	8.75	3.50
Mar 31	49.50	37.25	24.75	12.50	25.90	17.55	18.80	8.60	12.90	4.55	7.50	2.25
Apr 30	41.25	29.00	16.50	4.25	21.55	13.20	12.60	2.40	8.55	0.00	6.25	1.00
May 31	33.00	20.75	8.25	0.00	17.20	8.85	6.40	0.00	4.20	0.00	5.00	0.00
Jun 30	24.75	12.50	—	—	12.85	4.50	—	—	—	—	3.75	0.00
Jul 31	16.50	4.25	—	—	8.50	0.00	—	—	—	—	2.50	0.00
Aug 18	8.25	0.00	—	—	4.15	0.00	—	—	—	—	1.25	0.00

\* Non-Transferable Permits

\*\* Transferable Permits

**Summer School Sessions**

Permit for First and Second Summer Sessions

June 30	\$19.00	\$8.65
July 31	13.65	2.30
August 18	6.30	0.00
Permit for First or Second Summer Sessions	10.00	6.00*

\* Refund Through Second Week of Classes only.

Refunds are based on the above schedule. Refunds will not be given unless identifiable remnants of the permit(s) are presented at the time of the refund request.

Additional Permits	\$2.00
Replacement Non-Transferable Permits	2.00
Replacement Transferable Permit (Reported Lost or Stolen)	5.00 (First time reported, second time reported, \$10.00. Thereafter, full price of permit)
Temporary Permits (non-refundable)	
Area parking per week	2.00
Reserved space per week	3.00

\* See SUMMARY OF CHANGES, Item (G)

(4) **PARKING FEES AND PENALTIES (Continued)**<sup>1</sup>

(B) **Penalties:** All vehicles driven on University property are subject to all State of Texas, City of Lubbock, and University laws and regulations.

1. Citation Service Fees:

- |   |          |
|---|----------|
| a. Parking in space designated for persons with disabilities without the proper insignia or other related violations (per citation; \$100.00. If not paid within ten calendar days, thereafter) | \$105.00 |
| b. Use of lost or stolen permit (per citation \$50.00 if not paid within ten calendar days, thereafter)   | 55.00    |
| c. All other Parking Violations (per citation; \$10.00-\$25.00. If not paid within ten calendar days, thereafter) Minimum of \$15 but not to exceed   | 30.00    |

- |   |       |
|---|-------|
| 2. Impoundment Fees (In addition to the citation/s - Some impoundment fees may be higher, depending upon type, if vehicle impounded and wrecker service used) | 40.00 |
| 3. Fee if driver arrives after hook-up but prior to impoundment   | 25.00 |
| 4. Storage Fee for Impounded Vehicles (per day, including tax; commencing 24 hours after impoundment. Maximum \$130.00/month)                                 | 6.00  |

<sup>1</sup>See SUMMARY OF CHANGES, Item (G)



(5) **STUDENT SERVICES FEE SCHEDULE**

(A) All Colleges and School of Law - Long Term

Credit Hours Enrolled	Required Fees	For Services Of
Group I		
1	\$ 8.80	Learning Center
2	17.60	Services KTXT-FM
3	26.40	<u>University Daily</u> Law School Student Government Student Organization Advisement Student Association Spirit Activities Health Sciences Center Student Government University Counseling Center Attorney for Students Career Planning and Placement Texas Tech Band Multicultural Services Center
Group II		
4	35.20	All Group I Services
5	44.00	Campus Organizations
6	52.80	Texas Tech Choral Organizations
7	61.60	Texas Tech Symphony Orchestra
8	70.40	Campus Transportation System
Group III		
9	79.20	All Group I Services
10	88.00	All Group II Services
11	96.80	Cultural Events University Theatre
Group IV		
12 or more	105.50	All Group I Services All Group II Services All Group III Services Intercollegiate Athletics Recreational Services (Intramurals, Facilities, Aquatic Center, Sports Clubs)

(5) **STUDENT SERVICES FEE SCHEDULE (Continued)**

(B) All Colleges and School of Law - Summer Term\*

Credit Hours Enrolled	Required Fees	For Services Of
Group I		
1	\$ 8.80	Learning Center
2	17.60	Services KTXT-FM
3	26.40	<u>University Daily</u>
		Law School Student Government
		Student Organization Advisement
		Health Sciences Center Student Government
		Student Association
		Spirit Activities
		University Counseling Center
		Attorney for Students
		Career Planning and Placement
		Texas Tech Band
		Multicultural Services Center
Group II		
4	35.20	All Group I Services
5	44.00	Campus Organizations
6	52.80	Campus Transportation System
7	61.60	Texas Tech Choral Organizations
8	70.40	Texas Tech Symphony Orchestra
9	79.20	Cultural Events
10	88.00	University Theatre
11	96.80	Intercollegiate Athletics
12 or more	105.50	Recreational Services (Intramurals, Facilities, Aquatic Center, Sports Clubs)

\*Grouping not applicable for students registered at Junction Center only. All services at Junction are available to all Junction Center Registrants.

## ***REVISED POLICY***

### **04.03. Audits**

#### **1. Mission Statement**

The Office of Internal Audit is an independent organization within Texas Tech University. The objective of Internal Audit is to provide management and the Board of Regents with analyses, appraisals, recommendations, counsel, and information concerning activities reviewed. These audit activities include reviews of administrative and accounting internal controls and the assessment of quality of performance. Internal Audit is committed to providing the University with quality service.

#### **2. Objectives and Goals**

- A. Reviewing and appraising the soundness, adequacy, and application of accounting, financial, and other operating controls and promoting effective control at a reasonable cost.
- B. Ascertaining the extent of compliance with state and federal law and with Board of Regents and Operating Policies and Procedures.
- C. Ascertaining that University assets are being adequately accounted for and safeguarded from losses.
- D. Determining the adequacy, reliability, and effectiveness of accounting and reporting systems.
- E. Appraising the quality of management's performance in carrying out their assigned responsibilities.
- F. Recommending procedures that would improve the economy or efficiency of operations.
- G. Participating in system design as an advisor.
- H. Testing for evidence of fraud, embezzlement, theft, waste, etc., in the performance of auditing procedures.

#### **3. Organizational Responsibility, Reporting Relationships, and Authority**

The Office of Internal Audit is established by the Board of Regents in accordance with the Internal Audit Act of the State of Texas. The Board is responsible for the employment and dismissal of a Director to manage the affairs of the office. The President has the authority to make recommendations to the Board on the employment and dismissal of the Director. The Director reports functionally to the Chair of the Finance Committee of the Board of Regents and administratively to the President. Annually, the President and the Board will evaluate the performance of the Director of Internal Audit.

The employees of the Office of Internal Audit are granted full, free, and unrestricted access to all manual or electronic records (including medical), policies, physical properties, plans, and personnel relevant to any audit or review. Documents and information given to internal auditors during the course of an audit or review will be handled in a prudent manner.

To ensure the independence and objectivity, the staff of the Office of Internal Audit have no direct responsibility or authority for activities or operations that may be audited or reviewed. For

## ***REVISED POLICY***

### **04.03. Audits**

example, internal auditors do not develop and install procedures, prepare records, make management decisions, or engage in any other activity that could be reasonably construed to compromise their independence. Internal Auditors are not, however, precluded from making recommendations and suggestions for the improvement of internal controls or operating policies and procedures. An audit or review does not substitute or relieve other University personnel from their assigned responsibilities.

The Director of Internal Audit will coordinate any external audit effort performed by certified public accountants, the State Auditor's Office, or governmental auditors. This coordination includes entrance and exit conferences and the submission of responses to findings and recommendations to the external auditors.

### **4. Annual and Long Range Plan**

Annually, the Director of Internal Audit will prepare a plan of audit activities. The plan will be prepared for the institution's fiscal year ending August 31.

In order to provide broad systematic audit coverage to the University, a portion of time is set aside for audits of the colleges and schools of the University. Part of the plan is dedicated to performing audits that are required by State law or institutional policy. The remaining time is allocated to audits determined through the use of risk assessment techniques.

A committee comprised of the Chair of the Finance Committee of the Board of Regents, President, Vice President for Fiscal Affairs of Texas Tech University and Vice President for Fiscal Affairs of Texas Tech University Health Sciences Center will meet with the Director of Internal Audit to review, discuss, and approve the audit plan. The approved plan will be submitted to all members of the Board of Regents. The Director of Internal Audit will keep the Chair of the Finance Committee of the Board of Regents and the President informed of any changes to the plan.

After the end of each fiscal year, the Director of Internal Audit will prepare an annual report of audit activities required by the Internal Audit Act of the State of Texas. This annual report will be submitted to each Board Member and the President.

### **5. Scope of Work**

The Office of Internal Audit will conduct its activities in accordance with applicable standards for professional practice of internal auditing. The scope of each internal audit will encompass the examination and evaluation of the adequacy and effectiveness of the organization's system of internal control and the quality of performance in carrying out assigned responsibilities. The scope of each audit will be based on all or any combination of the following:

**Reliability and Integrity of Information** - reviewing the reliability and integrity of financial and operating information and the means used to identify, measure, classify, and report such information.

**Compliance with Policies, Plans, Procedures, Laws, and Regulations** - reviewing the systems established to ensure compliance with those policies, plans, procedures, laws, and regulations which could have a significant impact on operations and reports and determining the extent of the organizations compliance.

**Safeguarding of Assets** - reviewing the means of safeguarding assets and, as appropriate,

## ***REVISED POLICY***

### **04.03. Audits**

verify the existence of such assets.

**Economical and Efficient Use of Resources** - appraising the economy and efficiency with which resources are employed.

**Accomplishment of Established Objectives and Goals for Operations or Programs** - reviewing operations or programs to ascertain whether results are consistent with established objectives and goals and whether the operations or programs are being carried out as planned.

At the conclusion of each audit, the Office of Internal Audit will generally issue a report to which the responsible institutional manager will respond. Conflicts and differences of opinion will be resolved by the appropriate Dean or Vice President. Disagreement with an audit finding or recommendation will constitute management's decision to accept responsibility.

Before each Board meeting, the Director of Internal Audit will meet individually, in private, with the President and Chair of the Finance Committee of the Board of Regents to review and discuss the results of audits completed since the last Board meeting.

### **6. Quality Control and Improvement Effort**

The Office of Internal Audit has instituted a continuous quality improvement/control effort required by internal auditing standards. The quality of internal audit services is evaluated by answering a self-assessment questionnaire at the end of each of the three phases inherent in every audit (planning, fieldwork, and reporting); providing audit clients the opportunity to express their level of satisfaction with the services provided them; and measuring staff performance against predetermined benchmarks that encourage excellence. Once every three years, the Office of Internal Audit will arrange for an external quality assurance review by individuals independent of the Office of Internal Audit. The result of this review will be submitted to each Board Member and the President.

05.06

Investment Policy Statement for Endowment and Other 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) for guidance in the investment of endowment and other institutional fund assets not currently invested in the Cash Investment Pool. ~~(see Section (12) concerning conversion of endowment funds from Cash Investment Pool).~~

Endowment funds are funds given to TTU/HSC 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 for which TTU/HSC has the sole right to determine their use. Specifically, this means any fund 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 have 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 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, ~~and allows for the commingling for investment purposes. Prior to the transfer of existing funds from the Cash Investment Pool into this new commingled endowment fund, the donor of the endowed funds must be contacted by the Vice President for Institutional Advancement or the Vice President for Fiscal Affairs. Further, the Vice President for Institutional Advancement shall ensure that there are no donor-imposed restrictions preventing the use of the Consolidated Endowment Fund, including restrictions against both investment in equity securities or corporate debt, and expenditure of net realized appreciation of existing endowment funds. The donor's consent and concurrence for the investment of such funds in a balanced portfolio fund which may include the use of equity securities and corporate debt must be obtained. In addition, the donor's consent and concurrence of the expenditure of realized gains and the use of professional investment managers must also be received. 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 shall be advised by the Executive Vice President and Provost of the redeployment of such endowments into the Consolidated Endowment Fund. Similar donor consent and concurrence for future endowment accounts must be received prior to the inclusion of such funds in the new commingled endowment 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, 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" (CEF). The CEF 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 CEF 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 may invest in such securities and investments as permitted by Section 163.002 of the Property Code (Uniform Management of Institutional Funds Act). The CEF may be further limited to such eligible investments as adopted by the Board of Regents (see section (9) "Asset Allocation" below).

In addition, the CEF may retain, with the approval of the Board of Regents, those professional services deemed appropriate for the management and investment of the CEF. 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, 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) Financial Goal

The financial goal for management of endowment 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 against this objective is to be measured over rolling periods of at least 10 years, which should encompass several market cycles.

(7) Investment Objectives

The primary investment objective for the endowment is to earn, over the long-term, an average annual "real" total return, net of investment management costs, of 5.0 percent. This objective shall be measured over rolling 10-year periods.

It is also an objective that the endowment 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.



Managers of equities are expected to produce a cumulative annualized total return, net of management costs, that at least equal the S&P 500.

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.

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

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

(8) Spending Policy

Texas Tech University and Texas Tech University Health Sciences Center recognize the need for spendable income by the beneficiaries of the endowment 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 shall not exceed 6 percent nor be less than 4 percent of the average market value of a unit of the CEF 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 <u>1995-1996</u> <del>1993-1994</del>	Payout 4% of last 4 <u>quarters</u> <del>quarters</del> Average Market Value
FY <u>1996-1997</u> <del>1994-1995</del>	Payout 4% of last <u>4</u> <del>8</del> quarters Average Market Value
FY <u>1997-1998</u> <del>beyond</del>	Payout of 4.5% of last <u>8</u> <del>12</del> 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) Asset Allocation

To achieve the goal and objectives of the Consolidated Endowment Fund, the fund's assets may be invested into two categories: an equity component and a fixed-income component. The CEF 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 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 CEF's total market value.

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 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 CEF's total market value nor be less than 30%.

(A) Equity Manager's Guidelines

Equity managers are authorized to invest only in domestic and international equity securities listed on an established exchange ~~registered with the Securities and Exchange Commission~~. Not more than 5.0% of the equity stock of any one corporation may be owned by the CEF. No more than 5.0% of the CEF's equity component may be invested in any one equity security. No more than 25.0% of the CEF's equity component may be invested in any one industry segment.

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 CEF'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 ~~shall not~~ include investments in foreign bonds. No tax-exempt issues may be held in the fixed-income component.

(C) Exclusions And Prohibited Activities

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

- Purchase of unregistered or restricted stock
- Investment in private placements
- ~~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 CEF assets or buying or selling uncovered options, commodities or currencies
- Entering into any securities lending program or conditional sales contract

(10) Investment Managers

The Consolidated Endowment 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 CEF. 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 approved by the Board of Regents of TTU and HSC. The Endowment Investment Committee shall use a competitive sealed proposal process to select those investment managers that best demonstrate the necessary competence and qualifications.

(11) 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 CEF's 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 investment activities for the preceding year together with a summary of each investment manager's performance.

~~(12) Conversion of Endowment Funds Currently Invested in Cash Investment Pool~~

~~Prior to any change in investment philosophy, Upon the approval of the Endowment Investment Committee, the beneficiaries of an endowment whose funds are currently invested in the Cash Investment Pool will be advised, may convert to the Consolidated Endowment Fund. The approval will be predicated upon the following conditions:~~

- ~~• The department/beneficiary must ensure that there are no donor imposed restrictions preventing the use of the Consolidated Endowment Fund. (i.e. There are no restrictions concerning the investment of endowment funds in equity securities, corporate debt. Nor are there restrictions concerning the spending of net realized gains).~~
- ~~• Upon the transfer into the CEF, the department/beneficiary's spending rate will immediately decrease to that discussed in this Policy Statement.~~
- ~~• The department/beneficiary will not be allowed to transfer out of the CEF into the Cash Investment Pool without the advance approval of the Endowment Investment Committee.~~
- ~~• Withdrawals from the Cash Investment Pool will be planned to prevent liquidity concerns.~~

NO.	ACTIVITY	SOURCE OF FUNDS			REMARKS
		OTHER	INCOME	EXPENSE	
<b><u>BOARD APPROVAL:</u></b>					
ES04208	Band Uniform Project		114,999	114,999	Funds will be utilized to purchase new Marching Band uniforms.
ES04203	Athletic Department Revenue		668,000	668,000	Budgeting remaining Football Revenue and other Athletic Department Revenue.
Salary Increases of 10% or more  Per Annum:  NONE		CURRENT SALARY	NEW SALARY	% INCREASE	

## PRESIDENT'S REPORT

Thank you, Mr. Chair and members of the Board. As you know, I was always excited to have the opportunity to come before this group and give the Provost's report and when Mr. Whitacre cancelled that from the meetings, I had real withdrawal. That's one of the reasons I lobbied so hard to become interim president--so that I could once again come before you!

I am very sincere in saying "thank you" to the group that has supported me so well since I have been serving as the interim president. I include in that, certainly, the president's executive council and all of the deans. Everyone is doing yeoman's service and it certainly has made my job a lot easier on the learning curve. I appreciate everything that everyone has done, including, of course, the support staff in my office.

I want to begin by making a couple of introductions. At the last meeting, which I believe was in Amarillo, you appointed the latest in the line of Paul Whitfield Horn Professors for the University, Dr. Clyde Hendrick. At that time, Dr. Hendrick was unavailable and we didn't have the opportunity to introduce him to you. Dr. Hendrick, served as our graduate dean for more than ten years, and throughout that time, continued to be a very active researcher. Recently, because of his published research contributions, Dr. Hendrick was named **one of the fifty** most cited psychologists in the world! Dr. Hendrick has contributed a tremendous amount of work to the field of psychology and he has done an outstanding job for Texas Tech University. I want you to meet our newest Paul Whitfield Horn Professor, Dr. Clyde Hendrick.

And now, you have appointed the first Grover E. Murray Professor at the Health Sciences Center, Dr. Gabor Racz. I have to say how glad I am to see that happen because Grover E. Murray has been a colleague and a friend of mine for many, many years. He was the President of Texas Tech University when I came here in 1969. So, it does my heart good to see this occur. Congratulations to Dr. Murray and to Dr. Racz.

Another person that I want to recognize is Dean Frank Newton. As I'm sure many of you have read in the newspaper, Dean Newton, was recently elected president of the Texas Bar Association. I would like to take this opportunity to congratulate Frank on that honor. It is my understanding that Frank will serve as president-elect for a year and then will take the presidency following that.

And finally, I would like to recognize Dr. Bob Baker, who is not in the audience today. You may have read recently about research being carried out at the nuclear explosion site in Chernobyl. Dr. Baker has been at the center of that research. Dr. Baker, who is a Horn Professor in our department of Biological Sciences, has been working on some of the impacts of this explosion on rodents in that area and has been over there two or three times conducting experiments. Apparently, he has been able to show some extremely rapid genetic changes that were completely unexpected by scientists. In fact, I think, some scientists still reject it--that is, they don't believe what he has found. Nature Magazine, published in England, is one of the most outstanding publications in the world, of "real time", scientific experiments. I say "real time" because Nature Magazine is really an outlet for a scientist to publish work that is ongoing. Dr. Baker's work has been accepted and is featured in this magazine. I don't know what is going to eventually come out of all this--this is the kind of stuff nobelaureates are made of!! Dr. Baker has been an important member of this faculty for an extremely long time and this certainly is significant work that he has done in the area of Chernobyl--looking at the impact of the nuclear explosion on rodents in that area. He has shown some effects that have been truly fascinating to the scientific community. Congratulations to him on this achievement.

Next, I would like to visit with you briefly about our priorities during this interim period. First, certainly, is the appropriations process. It's never too soon to start and, as a matter of fact, I have already had an opportunity to testify before two preliminary subcommittees and will testify before another committee next week. It is our purpose to create an attitude among the legislature that we indeed are operating effectively and efficiently at Texas Tech. We have received the same letter that we have received the past two biennia, indicating that there will be no new funds for general revenue appropriations. We are working quite hard on our legislative appropriations request, whether or not



there will be any new dollars in the area of special line items--that is something we are attempting to prioritize now. I have had individual discussions with several of our representatives in the legislature about the legislative appropriations process. Certainly, this is an area we need to emphasize during this interim period.

Second, I think it is extremely important that we continue to emphasize the capital campaign. I am tremendously excited about this campaign and after making some calls with Mr. Wehner, I am very optimistic that it will be successful. We need a successful campaign to do the things that we need to do at Texas Tech.

Third, I wanted to mention to you the enhancement of our recruiting efforts. Previously, I spoke to this Board about the probability, with the increasing burden of educational costs being passed to the student, that there is going to be a tendency for students to stay closer to home. And Lubbock, as we know, is **not** close to home for a lot of students. One of the things we have talked about a lot, and something that I think is extremely important, is for us to become more involved in recruiting--to invest in the recruiting process. You just approved a budget that will help us in this area; from the purchase of a new student information system to the field recruiting effort. In the area of field recruitment, I have suggested that we place recruiting personnel in the field at critical locations to represent Texas Tech. We plan to hire personnel who would recruit in the metroplex on a full-time basis and as well as in the Houston area. I would like for those people to know every high school counselor in every high school in the area, to be familiar with people at the community colleges and to spend full-time in recruiting for the Texas Tech. I think that this is absolutely essential. In conjunction with our additional recruiting efforts, emphasis needs to be placed on increasing the number of scholarships offered. We have addressed some small portion of the spectrum of students as far as scholarships is concerned, but we **are not** competitive in the largest part of that spectrum and **we must be**. I have talked to Mr. Wehner about the capital campaign and the emphasis on scholarships as well as on endowed chairs and professorships. We must have more money to allow us to compete in the recruiting business.

And finally, the fourth thing we are emphasizing which has also been addressed in the budget approved today, is the enhancement of our technology infrastructure. Mr. Brunjes mentioned that we are working towards a completion date in 1997 instead of the originally scheduled 1999 date. Those, I think, are the major priorities that we are focusing on for the interim period.

Let me close by inviting you to the pre-commencement reception in the Museum this evening. All of those participating in the commencement ceremonies tomorrow are invited. Ms. Glenna Goodacre, who will be receiving an honorary degree at the commencement ceremony tomorrow, will also be at the reception.

Thank you, Mr. Chair.



TEXAS TECH UNIVERSITY  
Lubbock, Texas

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TEXAS TECH UNIVERSITY  
Lubbock, Texas

For Information Only: Teaching Appointments  
January 1, 1996 to March 15, 1996

<u>Name, Rank, and/or Title</u>	<u>Department or Office</u>	<u>Appointment Period</u>
Blackshaw, Alan W. Visiting Professor	Animal Science and Food Technology	1/18/96 - 8/16/96
Blackshaw, Judith K. Visiting Professor	Animal Science and Food Technology	1/18/96 - 8/16/96
Bredeson, Jon G. Professor and Chairperson	Electrical Engineering	9/1/96 - 5/31/97
Burns, Mary B. Assistant Professor	Business Administration	9/1/96 - 5/31/97
Eassa, Elaine E. Visiting Assistant Professor	Psychology	1/16/96 - 5/31/96
Gadeken, Sara F. Assistant Professor	English	9/1/96 - 5/31/97
Grair, Charles A. Assistant Professor	Classical and Modern Languages and Literatures	9/1/96 - 5/31/97
Prakash, Amarnath C. Assistant Professor	Business Administration	9/1/96 - 5/31/97
Temkin, Henryk Maddox Chair and Professor	Electrical Engineering	8/1/96 - 5/31/97

TEXAS TECH UNIVERSITY  
Lubbock, Texas

For Information Only: Teaching Retirements,  
Resignations and/or Terminations  
January 1, 1996 to March 15, 1996

<u>Name, Rank, and/or Title</u>	<u>Department or Office</u>	<u>Effective Date</u>
Henderson, Bette E. Assistant Professor	Merchandising, Environmental Design, and Consumer Economics	5/31/96
Hudgins, David L. Assistant Professor	Economics and Geography	1/15/96
Laca, Emilio A. Assistant Professor	Range, Wildlife, and Fisheries Management	3/11/96
Oberhelman, David D. Visiting Assistant Professor	English	1/15/96
Powers, Louis J. Professor	Mechanical Engineering	1/15/96
Wimberly, Dan B. Visiting Assistant Professor	History	1/15/96
Yousef, Emad A. Visiting Professor	Education	1/16/96

Recommendation for Initial Rank of Librarians and Archivists

	<u>Highest Degree</u>	<u>Rank</u>	<u>Term of Appointment</u>
Lorraine Bingham	MLS	Assistant Librarian	9/1/95 - 8/31/96
Deborah Cady	MLS	Assistant Librarian	9/1/95 - 8/31/96
Pamela Carver	MLS	Assistant Librarian	9/1/95 - 8/31/96
Kathryn Fuller	MLS	Assistant Archivist	9/1/95 - 8/31/96
Susan Hidalgo	MLS	Assistant Librarian	9/1/95 - 8/31/96
William Johnson	MLS	Assistant Librarian	9/1/95 - 8/31/96
Victoria Jones	MLS	Assistant Archivist	9/1/95 - 8/31/96
Tai Kreidler	MA	Assistant Archivist	9/1/95 - 8/31/96
Margaret McCasland	MLS	Assistant Librarian	9/1/95 - 8/31/96
James Niessen	PhD	Assistant Librarian	9/1/95 - 8/31/96
Freedonia Paschall	MLS	Assistant Archivist	9/1/95 - 8/31/96
Brian Quinn	MLS	Assistant Librarian	9/1/95 - 8/31/96
Carol Roberts	MLS	Assistant Librarian	9/1/95 - 8/31/96
Diane Warner	MLS	Assistant Librarian	9/1/95 - 8/31/96
Albert Camp	MLS	Associate Librarian	9/1/95 - 8/31/96
Jon Hufford	DLS	Associate Librarian	9/1/95 - 8/31/96
Douglas Birdsall	EdD	Librarian	9/1/95 - 8/31/96

Information Item  
Board of Regents  
The following Item was approved in the February 9, 1996,  
Board of Regents' Meeting, M34  
Texas Tech University  
May 10, 1996

Item to be Considered:

Acceptance of honorary degree.

Previous Board Action:

Honorary degrees have been conferred in past years; the last conferral being August 1994.

Statement of Pertinent Facts:

The Board of Regents of Texas Tech University, according to Board Policy 02.02, may authorize the awarding of honorary degrees upon the recommendation of the President. A procedure for development of nominations is specified by the policy.

Advice, Opinions, Recommendations and Motion:

If the Board of Regents agrees, the following motion is in order:

"RESOLVED, that the Board of Regents of Texas Tech University approves the conferral of an honorary degree for Glenna Goodacre."

SMALL CLASS REPORT  
SPRING 1996

SUBJECT	COURSE	SECTION	TYPE
<b>COLLEGE OF AGRICULTURE</b>			
AGRICULTURAL ECONOMICS	5100	1	SEMINAR
ANIMAL SCIENCE	3205	301	FULL CREDIT LAB
LANDSCAPE ARCHITECTURE	4309	1	LECTURE
	5203	1	LECTURE
	5420	1	LECTURE
	6401	1	LECTURE
PLANT & SOIL SCIENCE	5306	1	LECTURE
	5315	1	LECTURE
RANGE & WILDLIFE MANAGEMENT	5312	1	LECTURE
<b>COLLEGE OF ARCHITECTURE</b>			
ARCHITECTURE	3351	391	FULL CREDIT LAB
	4000	3	LECTURE
	4691	390	FULL CREDIT LAB
	5342	302	FULL CREDIT LAB
	5501	1	LECTURE
	5501	2	LECTURE
<b>COLLEGE OF ARTS AND SCIENCES</b>			
AEROSPACE STUDIES	1106	2	LECTURE
	1106	3	LECTURE
	2104	1	LECTURE
	3306	1	LECTURE
	3306	2	LECTURE
	4304	1	LECTURE
	4304	2	LECTURE
	4304	3	LECTURE
ANTHROPOLOGY	1101	305	FULL CREDIT LAB
	3331	1	LECTURE
	5343	2	LECTURE
ART	5330	301	FULL CREDIT LAB
BIOLOGY	6101	3	SEMINAR
	6101	5	SEMINAR
	6101	8	SEMINAR
	6101	14	SEMINAR
	6101	15	SEMINAR
	6101	17	SEMINAR
	6101	18	SEMINAR
CHEMISTRY	1303	1	LECTURE
	5102	5	SEMINAR
EXERCISE & SPORT SCIENCE	5332	1	LECTURE
	5352	1	LECTURE
HISTORY	3399	1	LECTURE
	3399	2	LECTURE
	3399	3	LECTURE
MASS COMMUNICATIONS	5160	1	SEMINAR
MATHEMATICS	4343	1	LECTURE
	5365	1	LECTURE
MILITARY SCIENCE	1102	3	LECTURE
	1102	4	LECTURE
	1102	5	LECTURE
	2202	1	LECTURE
	2202	2	LECTURE
	2202	3	LECTURE
	2202	4	LECTURE
	2202	5	LECTURE
	3302	1	LECTURE
	3302	2	LECTURE

SUBJECT	COURSE	SECTION	TYPE
MILITARY SCIENCE	4302	2	LECTURE
MUSIC	3219	1	LECTURE
MUSIC THEORY	4302	1	LECTURE
	4303	1	LECTURE
PHOTOGRAPHY	3412	1	LECTURE
STATISTICS	5329	2	LECTURE
TELECOMMUNICATIONS	5331	1	LECTURE
WOMEN'S STUDIES	4300	1	SEMINAR
<b>COLLEGE OF BUSINESS</b>			
ACCOUNTING	5317	1	LECTURE
MANAGEMENT	3374	70	LECTURE
	6392	1	LECTURE
MARKETING	6352	1	LECTURE
<b>COLLEGE OF EDUCATION</b>			
BILINGUAL EDUCATION	5336	1	LECTURE
EDUCATIONAL LEADERSHIP	6321	1	LECTURE
EDUCATIONAL PSYCHOLOGY	6310	1	LECTURE
HIGHER EDUCATION	5322	250	LECTURE
SPECIAL EDUCATION	5307	1	LECTURE
	5387	1	LECTURE
	5390	1	SEMINAR
<b>COLLEGE OF ENGINEERING</b>			
CHEMICAL ENGINEERING	3225	1	LECTURE
	3226	1	LECTURE
	5341	1	LECTURE
CIVIL ENGINEERING	5101	4	SEMINAR
COMPUTER SCIENCE	4373	1	LECTURE
ELECTRICAL ENGINEERING	5331	4	LECTURE
GENERAL ENG TECHNOLOGY	4121	2	SEMINAR
	4431	1	LECTURE
INDUSTRIAL ENGINEERING	3343	1	LECTURE
MECHANICAL ENGINEERING	5319	1	LECTURE
	5344	1	LECTURE
MECHANICAL ENG TECHNOL	4332	1	LECTURE
	4332	2	LECTURE
<b>COLLEGE OF HUMAN SCIENCES</b>			
FASHION DESIGN	1303	1	LECTURE
	4001	1	LECTURE
	4389	1	LECTURE
HOME ECO. EDUCATION	5304	1	LECTURE

COUNT  
90



Board of Regents  
Texas Tech University  
May 19, 1996

For Information only: Report in Accordance with  
Board Policy, Number 04.23

Employee

Craig G. White  
Teaching Assistant  
College of Business  
Administration

Administrative  
Supervisor

Gary E. White  
Director, Accounting  
College of Business Admin.  
(not immediate supervisor)

Prohibited  
Relationship

son

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

DECEMBER 1, 1995 THROUGH FEBRUARY 29, 1996

Project Activity	Amount	Source of Funds
Texas Public Education Grants	1,077,800	DOC ID #ES03687; Transferred \$1,077,800 from the Fund Balance account of 0518, and into object code 45 "Scholarships, Awards, and Prizes"
Does N2H Participate in the Thermal De-Nox Process?	115,135	DOC ID #ES03419; Texas Higher Education Coordinating Board; ARP #003644-071
Aging Mechanisms of Electrical Insulation	178,666	DOC ID #LM01993; Texas Higher Education Coordinating Board; ARP #003644-108
Effect of Enzymes on High-Strength Waste Treatment	179,820	DOC ID #ES03568; Texas Higher Education Coordinating Board; ARP #003644-051
Wind Damage Prediction Using Doppler Radar	148,858	DOC ID #ES03569; Texas Higher Education Coordinating Board; ARP #003644-090
Virus Against the Cotton Boll Weevil	222,281	DOC ID #ES03672; Texas Higher Education Coordinating Board; ARP #003644-148
Advanced Research Program - 1996 - 1997	1,501,462	DOC ID #LM01984; Grants from Higher Education Coordinating Board for the Advanced Research Program.1996 - 1997
Indoor Pollution: Diagnostic Sick Building Syndrome: Biological or Chemical Problem?	137,662	DOC ID #ES03424; Texas Higher Education Coordinating Board; ATP #003644-018
Castor as a Source of Ricin Toxin for Use as Immunotoxins for the Treatment of Human Diseases	118,533	DOC ID #ES03421; Texas Higher Education Coordinating Board; ATP #003644-150
Improved Manufacture of Microelectronics Systems	154,486	DOC ID #ES03420; Texas Higher Education Coordinating Board; ATP #003644-085
Sterol Utilization and Metabolism by Phytophagous Insects and Nematodes	160,00	DOC ID #LM01994; Texas Higher Education Coordinating Board; ATP #003644-141

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

DECEMBER 1, 1995 THROUGH FEBRUARY 29, 1996

Project Activity	Amount	Source of Funds
Oxidative Degradation of Organic Contaminants in Aqueous Media Using Ultrasound	116,348	DOC ID #LM01996; Texas Higher Education Coordinating Board; ATP #003644-103
Testing Transformed Cotton with Improved Photosynthesis and Fiber Under Cool Temperatures	149,872	DOC ID #LM01997; Texas Higher Education Coordinating Board; ATP #003644-154
Optical Instrumentation for Real-Time IN-STIU Measurements of Airborne Dust Particles	111,260	DOC ID #LM01998; Texas Higher Education Coordinating Board; ATP #003644-073
System Control for a Hybrid Electric Vehicle	127,514	DOC ID #LM01999; Texas Higher Education Coordinating Board; ATP #003644-127
Strategy for Using Oxidative Enzymes to Reduce Insect Damage in Transgenic Cotton	151,718	DOC ID #LM02000; Texas Higher Education Coordinating Board; ATP #003644-138
Automated Semiconductor Defect Management	332,240	DOC ID #LM02002; Texas Higher Education Coordinating Board; ATP #003644-178
Design, Development, Construction of New Automated Peanut Processing Facility	127,096	DOC ID #ES03572; Texas Higher Education Coordinating Board; ATP #003644-092
Biotechnology Management for Ratite Management	167,904	DOC ID #LM02260; Texas Higher Education Coordinating Board; ATP #003644-083
Objective Selection and Control of Cotton for Efficient Textile Manufacturing	159,080	DOC ID #ES03846; Texas Higher Education Coordinating Board; ATP #003644-166
Advanced Technology Program - 1996 - 1997	2,322,649	DOC ID #LM01985; Grants from Texas Higher Education Coordinating Board for the Advanced Technology Program 1996 - 1997
Ag. Mediation Master Account	231,762 revised: 300,000	DOC ID #LM01789; United States Department of Agriculture

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

DECEMBER 1, 1995 THROUGH FEBRUARY 29, 1996

Project Activity	Amount	Source of Funds
ASSERT - Neural Network Enhancement to Radar Scheduling System	112,105	DOC ID #ES03910; U.S. Army Research Office; Grant #DAAH04-95-1-0215; CFDA #12.800
Experimental Particle Physics Research at Texas Tech University	200,000 revised: 300,000	DOC ID #LM02694; Department of Energy; #DE-FG03-95ER40938 CFDA #81.049
Academic Aftercare for Recovering Persons/Facility Capacity System	151,895	DOC ID #LM02338; Texas Commission on Alcohol and Drug Abuse; TACADA 00-0020-962-SPS; CFDA #93-959
Ethiopia's Textile Sector	191,356	DOC ID #ES03845; Chemonics International, Inc. Project #663-0005-00-3-40054; from AID contract #663-005-C-00- 6210
Development of Insect Resistant Transgenic Cotton Using Genes for Oxidative	100,000	DOC ID #ES03819; Texas Agricultural Experiment Station
Environmental Studies Near Sierra Blanca, TX	128,062 revised: 1,079,222	DOC ID #LM02805; Merco Joint Venture
Distribution, Movements and Habitat Use by Paddlefish in the Lower Neches River, TX	122,700	DOC ID #ES03546; Lower Neches Valley Authority
OIA - Komsomolsk	465,264 revised: 825,608	DOC ID #LM01911; Gifts - \$448,500; Interest - \$16,764

Texas Tech University  
Report of Official Travel  
Cumulative by Fiscal Quarter  
Fiscal Year 1996

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

	<u>This Year</u> <u>Quarters I &amp; II</u>	<u>Last Year</u> <u>Quarters I &amp; II</u>
(a) Commercial Airfare	\$ 560,265.53	\$ 543,991.54
(b) Personal Auto Mileage	73,577.20	77,895.78
(c) Automobile Rental	109,916.26	94,033.14
(d) Per Diem (In-State)	234,505.61	195,541.77
(e) Meals and Lodging (Out-of-State)	312,805.01	300,508.53
(f) All other, including registration fees, charter aircraft, taxi, limousine fares, etc.	<u>291,550.58</u>	<u>270,389.35</u>
Sub-Total	<u>\$1,582,620.19</u>	<u>\$1,482,360.11</u>
(g) Intercollegiate Athletic Team/ Student Group Travel*	<u>1,026,713.78</u>	<u>1,042,204.08</u>
Totals	<u>\$2,609,333.97</u>	<u>\$2,524,564.19</u>

II. Percent of total travel cost incurred by purpose for Quarters I & II 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	.51	3.48	.98	4.97
(b) Required for research project	2.06	2.24	.59	4.89
(c) Attendance at professional meeting, workshop, conference, seminar, etc.	31.61	34.34	5.82	71.77
(d) To perform official business and duties	7.58	4.22	1.19	12.99
(e) Multi-purpose meeting/paper	<u>1.13</u>	<u>3.60</u>	<u>.65</u>	<u>5.38</u>
Totals	<u>42.89</u>	<u>47.88</u>	<u>9.23</u>	<u>100.00</u>

\*Includes travel expenditures for the Copper Bowl in 1996 and the Cotton Bowl in 1995.

III. Cities traveled to and number of trips (3,201) for the purposes shown in Section II and for Quarters I & II:

- (a) In-State : Dallas/Fort Worth (494); Austin (350); West Texas Area (280); Houston (195); San Antonio (133); Amarillo (98); El Paso (90); College Station (54); Midland/Odessa (40); Sierra Blanca (14); Others (290).
- (b) Out-of-State : New Orleans (69); Washington, D.C. (66); Albuquerque (51); Chicago (43); Denver (35); Orlando (33); Atlanta (31); St. Louis (27); Kansas City (25); Nashville (25); San Diego (25); Others (663).
- (c) Out-of-Country: Mexico City, Mexico (7); Vancouver, Canada (6); London, England (4); Paris, France (3); Puerto Vallarta, Mexico (3); Christ Church, New Zealand (3); Stuttgart, Germany (2); Wilhelmshaven, Germany (2); Guanajuato, Mexico (2); Puebla, Mexico (2); Moscow, Russia (2); Geneva, Switzerland (2); Stracholissia, Ukraine (2); Hanoi, Vietnam (2); Harare, Africa (1); Perth, Australia (1); Sydney, Australia (1); Gent, Belgium (1); Sao Paulo, Brazil (1); Calgary, Canada (1); Victoria, Canada (1); Santiago, Chile (1); Beijing, China (1); Taipei, China (1); Havana, Cuba (1); Addis Ababa, Ethiopia (1); Berlin, Germany (1); Amritsar, India (1); Milan, Italy (1); Kyoto, Japan (1); Chihuahua, Mexico (1); Amsterdam, Netherlands (1); Honefoss, Norway (1); Manila, Philippines (1); El Verde, Puerto Rico (1); Rio Piedras, Puerto Rico (1); San Juan, Puerto Rico (1); Bucharest, Romania (1); St. Petersburg, Russia (1); Huelva, Spain (1); Chilton, United Kingdom (1); Oxfordshire, United Kingdom (1).

TEXAS TECH UNIVERSITY  
Summary of Revenues by Budget Category - Fiscal Year 1996  
February 29, 1996

	Current Budget	Historical Norm	Year-to-Date Actual	Actual to Historical Norm Over(Under)	Actual %	Historical %
<b>EDUCATIONAL AND GENERAL</b>						
General Revenue	\$ 85,275,962	\$ 42,883,636	\$ 42,305,544	\$ (578,093)	49.61%	50.29%
TASP Funds-Special Appropriation	23,204	29,222	23,204	(6,018)	100.00%	125.94%
Tuition, net	18,796,824	18,293,277	18,987,620	694,343	101.02%	97.32%
Fees	1,094,480	1,026,428	1,069,067	42,639	97.68%	93.78%
Sales and Services	38,250	17,023	43,885	26,862	114.73%	44.50%
Indirect Cost, net	1,998,987	764,441	1,085,620	321,179	54.31%	38.24%
Organized Activities	182,548	131,198	127,887	(3,311)	70.06%	71.87%
Extension Courses	702,725	294,430	529,458	235,028	75.34%	41.90%
Time Deposit Interest	1,083,675	449,559	1,213,364	763,805	111.97%	41.48%
Miscellaneous	57,312	26,041	96,968	70,927	169.19%	45.44%
HEAF	16,887,085	8,443,543	8,443,543	0	50.00%	50.00%
Graduate Tuition	3,354,572	2,640,603	2,477,113	(163,490)	73.84%	78.72%
Authorized Carryforwards	8,973,566	8,973,566	8,973,566	0	100.00%	100.00%
<b>TOTAL EDUCATIONAL AND GENERAL</b>	<b>\$ 138,469,190</b>	<b>\$ 83,972,967</b>	<b>\$ 85,376,838</b>	<b>\$ 1,403,872</b>	<b>61.66%</b>	<b>60.64%</b>
<b>DESIGNATED FUNDS</b>						
General Designated-Pledged	\$ 37,857,781	\$ 30,695,122	\$ 30,063,009	\$ (632,113)	79.41%	81.08%
General Designated-Unpledged	31,757,441	26,771,995	27,582,317	810,322	86.85%	84.30%
Designated Service Departments	19,435,802	7,379,981	6,667,556	(712,425)	34.31%	37.97%
Authorized Carryforwards	3,382,399	3,825,196	3,825,196	0	113.09%	113.09%
<b>TOTAL DESIGNATED FUNDS</b>	<b>\$ 92,433,423</b>	<b>\$ 68,672,294</b>	<b>\$ 68,138,078</b>	<b>\$ (534,216)</b>	<b>73.72%</b>	<b>74.29%</b>
<b>AUXILIARY FUNDS</b>						
Pledged Auxiliary Funds	\$ 49,352,251	\$ 35,682,466	\$ 36,018,749	\$ 336,283	72.98%	72.30%
Authorized Carryforwards	837,525	1,602,135	1,602,135	0	191.29%	191.29%
<b>TOTAL AUXILIARY FUNDS</b>	<b>\$ 50,189,776</b>	<b>\$ 37,284,601</b>	<b>\$ 37,620,884</b>	<b>\$ 336,283</b>	<b>74.96%</b>	<b>74.29%</b>
<b>CURRENT RESTRICTED FUNDS</b>						
<b>CONTRACTS, GRANTS, AND GENERAL</b>						
Federal Programs	\$ 10,619,100	\$ 3,462,284	\$ 4,324,394	\$ 862,110	40.72%	32.60%
State Programs	1,856,800	551,147	652,756	101,609	35.15%	29.68%
Private Programs	12,325,700	6,421,085	7,183,615	762,530	58.28%	52.10%
<b>TOTAL CONTRACTS, GRANTS, AND GENERAL</b>	<b>\$ 24,801,600</b>	<b>\$ 10,434,516</b>	<b>\$ 12,160,765</b>	<b>\$ 1,726,249</b>	<b>49.03%</b>	<b>42.07%</b>
<b>STUDENT AID</b>						
Federal Financial Aid	\$ 8,300,000	\$ 3,651,461	\$ 4,594,775	\$ 943,314	55.36%	43.99%
Scholarships and Fellowships	2,463,100	828,372	1,168,634	340,262	47.45%	33.63%
<b>TOTAL STUDENT AID</b>	<b>\$ 10,763,100</b>	<b>\$ 4,479,833</b>	<b>\$ 5,763,409</b>	<b>\$ 1,283,576</b>	<b>53.55%</b>	<b>41.62%</b>
<b>TOTAL CURRENT RESTRICTED FUNDS</b>	<b>\$ 35,564,700</b>	<b>\$ 14,914,349</b>	<b>\$ 17,924,174</b>	<b>\$ 3,009,825</b>	<b>50.40%</b>	<b>41.94%</b>
<b>TOTAL REVENUES</b>	<b>\$ 316,657,089</b>	<b>\$ 204,844,211</b>	<b>\$ 209,059,974</b>	<b>\$ 4,215,763</b>	<b>68.02%</b>	<b>64.69%</b>



TEXAS TECH UNIVERSITY  
Summary of Expenditures by Budget Category - Fiscal Year 1996  
February 29, 1996

	Current Budget	Historical Norm	Year-to-Date Actual	Actual to Historical Norm Over(Under)	Actual %	Historical %
<b>EDUCATIONAL AND GENERAL</b>						
General Administration	\$ 5,408,316	\$ 2,361,089	\$ 1,967,219	\$ (393,870)	36.37%	43.66%
General Institutional Expense	1,712,223	368,130	265,841	(102,289)	15.53%	21.50%
Staff Benefits	5,051,109	2,279,322	1,529,208	(750,114)	30.27%	45.13%
OASI	1,566,984	96,504	125,356	28,852	8.00%	6.16%
Faculty Salaries	50,992,980	26,875,500	26,501,013	(374,487)	51.97%	52.70%
Departmental Operating Expense	8,141,580	3,852,363	3,821,358	(31,005)	46.94%	47.32%
Instructional Administration	3,168,417	1,420,153	1,444,564	24,411	45.59%	44.82%
Library	2,692,628	1,328,284	2,065,176	736,892	76.70%	49.33%
Organized Research	2,165,527	801,067	505,660	(295,407)	23.35%	36.99%
Physical Plant	8,882,376	3,615,738	3,640,163	24,425	40.98%	40.71%
Purchased Utilities	10,107,026	3,832,579	3,713,722	(118,857)	36.74%	37.92%
Scholarships	190,848	184,211	91,885	(92,326)	48.15%	96.52%
Special Items	4,955,086	1,988,116	1,837,568	(150,548)	37.08%	40.12%
International Cultural Center	975,811	49,349	37,867	(11,482)	3.88%	5.06%
West Texas Legal Resource Center	3,132,026	1,473,014	1,513,389	40,375	48.32%	47.03%
Bond Retirement	4,384,902	2,749,168	3,194,978	445,810	72.86%	62.70%
Other	2,883,441	1,592,635	862,892	(729,743)	29.93%	55.23%
HEAF	18,159,163	2,075,479	1,334,938	(740,541)	7.35%	11.43%
Graduate Tuition	3,898,747	2,286,362	1,967,476	(318,886)	50.46%	58.64%
<b>TOTAL EDUCATIONAL AND GENERAL</b>	<b>\$ 138,469,190</b>	<b>\$ 59,229,063</b>	<b>\$ 56,420,273</b>	<b>\$ (2,808,790)</b>	<b>40.75%</b>	<b>42.77%</b>
<b>DESIGNATED FUNDS</b>						
General Designated-Pledged	\$ 39,444,843	\$ 18,759,489	\$ 19,375,437	\$ 615,948	49.12%	47.56%
General Designated-Unpledged	32,561,601	26,878,117	27,636,935	758,818	84.88%	82.55%
Designated Service Departments	20,426,979	8,934,689	8,850,076	(84,613)	43.33%	43.74%
<b>TOTAL DESIGNATED FUNDS</b>	<b>\$ 92,433,423</b>	<b>\$ 54,572,295</b>	<b>\$ 55,862,448</b>	<b>\$ 1,290,153</b>	<b>60.44%</b>	<b>59.04%</b>
<b>AUXILIARY FUNDS</b>						
Pledged Auxiliary Funds	\$ 50,189,776	\$ 26,522,696	\$ 27,027,921	\$ 505,225	53.85%	52.84%
<b>TOTAL AUXILIARY FUNDS</b>	<b>\$ 50,189,776</b>	<b>\$ 26,522,696</b>	<b>\$ 27,027,921</b>	<b>\$ 505,225</b>	<b>53.85%</b>	<b>52.84%</b>
<b>CURRENT RESTRICTED FUNDS</b>						
<b>CONTRACTS, GRANTS, AND GENERAL</b>						
Federal Programs	\$ 10,819,100	\$ 4,612,454	\$ 5,330,376	\$ 717,922	50.20%	43.44%
State Programs	1,856,800	536,310	708,425	172,115	38.15%	28.88%
Private Programs	12,325,700	5,408,876	6,067,329	658,453	49.23%	43.88%
<b>TOTAL CONTRACTS, GRANTS, AND GENERAL</b>	<b>\$ 24,801,600</b>	<b>\$ 10,557,640</b>	<b>\$ 12,106,130</b>	<b>\$ 1,548,490</b>	<b>48.81%</b>	<b>42.57%</b>
<b>STUDENT AID</b>						
Federal Financial Aid	\$ 8,300,000	\$ 7,556,880	\$ 7,967,782	\$ 410,902	96.00%	91.05%
Scholarships and Fellowships	2,463,100	2,317,807	2,437,464	119,657	98.96%	94.10%
<b>TOTAL STUDENT AID</b>	<b>\$ 10,763,100</b>	<b>\$ 9,874,687</b>	<b>\$ 10,405,246</b>	<b>\$ 530,559</b>	<b>96.68%</b>	<b>91.75%</b>
<b>TOTAL CURRENT RESTRICTED FUNDS</b>	<b>\$ 35,564,700</b>	<b>\$ 20,432,327</b>	<b>\$ 22,511,376</b>	<b>\$ 2,079,049</b>	<b>63.30%</b>	<b>57.45%</b>
<b>TOTAL EXPENDITURES</b>	<b>\$ 316,657,089</b>	<b>\$ 160,756,381</b>	<b>\$ 161,822,018</b>	<b>\$ 1,065,637</b>	<b>51.10%</b>	<b>50.77%</b>
<b>NET REVENUES OVER (UNDER)</b>	<b>\$ 0</b>		<b>\$ 47,237,956</b>			

Board of Regents  
Texas Tech University  
May 10, 1996

Information Only

Texas Tech University Foundation, formerly Texas Technological College Foundation, was established in 1939 to provide services, benefits, and resources to Texas Tech University. In 1983, pursuant to statutory requirements, a contract between the University and the Foundation was executed to assure the activities of the Foundation in support of the University are consistent with the University's objectives, goals, and priorities. In 1970, Texas Tech Medical School Foundation, now Texas Tech Medical Foundation, Inc. was created to support and assist the School of Medicine, and later Texas Tech University Health Sciences Center. Texas Tech Medical Foundation also executed a support contract with the Board of Regents in 1983.

As previously discussed with the Board of Regents, in December, 1994, upon the recommendation of Barnes and Roche, a fund-raising consulting firm, a task force of volunteers studied the potential merger of the three Texas Tech foundations: Texas Tech University Foundation, Texas Tech Medical Foundation, Inc. and Texas Tech Law School Foundation. On June 5 and 6, 1995, the task force consisting of eight participants including Regent Carl Noe, M.D. met to consider the issue. This task force recommended that Texas Tech Medical Foundation, Inc. and Texas Tech University Foundation be merged. At its November 1995 meeting, the Board of Directors of Texas Tech University Foundation approved the establishment of a joint committee with Texas Tech Medical Foundation, Inc. to explore the possibility of merging the two foundations and making a recommendation to the two Boards of Directors. In November 1995, Texas Tech Medical Foundation, Inc.'s Executive Committee also approved the establishment of this joint committee. Four members from each Board of Directors, including the Chair of each Board, served on the Foundations Merger Committee. After three meetings of the full committee and two additional meetings of a sub-committee to work out the details of the structure, governance, and operation of a proposed merged foundation, a merger plan was developed. At its February 23 meeting, the Foundations Merger Committee voted to submit the attached "Articles of Merger of Domestic Non-Profit Corporations" containing the Plan of Merger to the Boards of Directors of Texas Tech University Foundation and Texas Tech Medical Foundation, Inc. for their approval. On March 18, 1996, the Board of Directors of Texas Tech Medical Foundation, Inc. met and approved the Plan of Merger. On March 26, 1996 the Board of Directors of Texas Tech University Foundation met and approved the Plan of Merger.

OFFICE OF DEVELOPMENT

Gifts and Grants as of February 29, 1996  
and  
Gifts and Grants as of February, 28, 1995

	Fiscal Year 1996	Fiscal Year 1995
<b>Texas Tech University</b>		
September 30	\$ 363,144.43	\$ 430,128.52
October 31	359,477.13	1,637,151.78
November 30	380,162.17	182,248.13
December 31	979,165.58	1,343,361.27
January 31	977,382.26	426,762.49
February 29	<u>1,002,453.43</u>	<u>361,132.16</u>
<b>Total University</b>	<b>\$ 4,061,785.00</b>	<b>\$ 4,380,784.35</b>
 <b>Texas Tech University Foundation</b>		
September 30	\$ 97,217.03	\$ 242,668.81
October 31	244,520.92	220,235.28
November 30	115,604.77	185,260.93
December 31	1,600,266.34	660,836.38
January 31	299,689.23	181,032.79
February 29	<u>185,741.12</u>	<u>338,165.46</u>
<b>Total Foundation</b>	<b>\$ 2,543,039.41</b>	<b>\$ 1,828,199.65</b>
 <b>GRAND TOTALS</b>	 <b><u>\$ 6,604,824.41</u></b>	 <b><u>\$ 6,208,984.00</u></b>

**OFFICE OF DEVELOPMENT**

Gifts and Grants as of February 29, 1996  
and  
Gifts and Grants as of February, 28, 1995

	<b>Fiscal Year 1996</b>	<b>Fiscal Year 1995</b>
<b>Texas Tech University</b>		
September 30	\$ 363,144.43	\$ 430,128.52
October 31	359,477.13	1,637,151.78
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December 31	1,600,266.34	660,836.38
January 31	299,689.23	181,032.79
February 29	<u>185,741.12</u>	<u>338,165.46</u>
<b>Total Foundation</b>	<b>\$ 2,543,039.41</b>	<b>\$ 1,828,199.65</b>
 <b>Texas Tech University Health Sciences Center</b>		
September 30	\$ 66,935.40	\$ 48,170.00
October 31	15,490.00	67,148.12
November 30	37,100.00	55,543.33
December 31	54,896.00	190,086.66
January 31	112,760.26	40,125.00
February 29	<u>39,434.43</u>	<u>191,084.12</u>
<b>Total Health Sciences Center</b>	<b>\$ 326,616.09</b>	<b>\$ 592,157.23</b>
 <b>Texas Tech Medical Foundation</b>		
September 30	\$ 5,579.16	\$ 6,477.50
October 31	7,747.50	72.50
November 30	61,081.89	5,432.50
December 31	145,643.16	477,277.75
January 31	10,317.23	2,725.00
February 29	<u>35,057.49</u>	<u>36,462.75</u>
<b>Total Medical Foundation</b>	<b>\$ 265,426.43</b>	<b>\$ 528,448.00</b>
 <b>GRAND TOTALS</b>	<b><u>\$ 7,196,866.93</u></b>	<b><u>\$ 7,329,589.23</u></b>

**OFFICE OF DEVELOPMENT**

Texas Tech University and  
Texas Tech Health Science Center  
For Fiscal Year 1996 as of February 29, 1996

Texas Tech University	\$4,061,785.00
Texas Tech University Foundation	\$2,543,039.41
Texas Tech Health Sciences Center	\$326,616.09
Texas Tech Medical Foundation	\$265,426.43
Law Foundation	\$10,000.00
Outstanding Pledges	<u>\$7,816,000.00</u>
Total	<u><u>\$12,422,066.93</u></u>

CONSTRUCTION SERVICES

Contract No. 96-1412  
Account Number 3716-42-1565

AGREEMENT

THIS AGREEMENT, made this 20th day of February, in the year Nineteen Hundred Ninety Six.

BY AND BETWEEN

Texas Tech University, Lubbock, Lubbock County, Texas, the Owner, acting herein by and through Robert W. Lawless, President, and Mike Klein General Contractors, 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 Horn/Knapp Air Conditioning (FP&C 95-34) Base Bid Including Alternate No. 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 Million Eight Hundred Sixty Three Thousand and no/100's Dollars  
(Written Amount)

\$1,863,000.00  
(Figures)

The above bid price is divided into \$ 1,810,000.00 dollars for Materials (to be incorporated into the Work) and \$ 53,000.00 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 by August 9, 1996.

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 Engineer.

#### 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

MIKE KLEIN GENERAL CONTRACTORS, INC.

By: 

For Robert W. Lawless  
President

By: 

Date: 3-7-96


Date: 3/11/96

REVIEWED FOR FISCAL IMPLICATIONS

  
Don E. Cosby, Vice President ~~at~~  
for Fiscal Affairs

Date: 3-10-96

REVIEWED FOR FORM

  
Pat Campbell, Vice President  
and General Counsel

Date: 3-6-96

4:04

CONSTRUCTION SERVICES

Contract No. 96-1402  
Account Number 3702-42-1568

AGREEMENT

THIS AGREEMENT, made this 22nd day of December, in the year Nineteen Hundred Ninety Five.

BY AND BETWEEN

Texas Tech University, Lubbock, Lubbock County, Texas, the Owner, acting herein by and through Robert W. Lawless, President, and Lubbock Glass and Mirror, 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 Sneed Hall Window Replacement-Base Bid Including Alternate No. 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 Four Hundred Eighty Three Thousand Five Hundred Thirty One and No/100's Dollars  
(Written Amount)

\$483,531.00

(Figures)

The above bid price is divided into \$ 394,659.00 dollars for Materials (to be incorporated into the Work) and \$ 88,872.00 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 by July 26, 1996 and all punch list items be complete by August 2, 1996.

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.

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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

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Venue shall be in Lubbock County, Texas.

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

OWNER  
TEXAS TECH UNIVERSITY

By:   
Robert W. Lawless  
President

Date: 1/9/96

REVIEWED FOR FISCAL IMPLICATIONS

  
Don E. Cosby, Vice President  
for Fiscal Affairs

Date: 1-8-96

REVIEWED FOR FORM

  
Pat Campbell, Vice President  
and General Counsel

Date: 1-8-96

4:04

CONTRACTOR  
LUBBOCK GLASS AND MIRROR

By: 

Date: 1/15/96

12. Commencement Program - May 11, 1996